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NASA INFORMATION RESOURCES MANAGEMENT HANDBOOK

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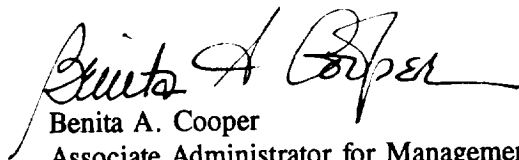
PREFACE

This National Aeronautics and Space Administration (NASA) Handbook (NHB) implements recent changes to Federal laws and regulations involving the acquisition, management, and use of Federal Information Processing (FIP) resources. This document defines NASA's Information Resources Management (IRM) practices and procedures and is applicable to all NASA personnel.

The dynamic nature of the IRM environment requires that the controlling management practices and procedures for an Agency at the leading edge of technology, such as NASA, must be periodically updated to reflect the changes in this environment. This revision has been undertaken to accommodate changes in the technology and the impact of new laws and regulations dealing with IRM.

The contents of this document will be subject to a complete review annually to determine its continued applicability to the acquisition, management, and use of FIP resources by NASA. Updates to this document will be accomplished by page changes.

This revision cancels NHB 2410.1D, dated April 1985.



Benita A. Cooper
Associate Administrator for Management Systems
and Facilities

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CHAPTER A—GENERAL

SECTION 1—APPLICABILITY AND AUTHORITY

1.000 Scope of Section. This section clarifies the extent to which the Federal Information Resources Management Regulation (FIRMR) and this National Aeronautics and Space Administration (NASA) Handbook (NHB) apply to NASA.

1.001 *[FIRMR reserved]*.

1.002 Applicability.

1.002-1 Policy. The FIRMR and this NHB apply to NASA to the extent FIRMR 201-1.002-1 applies, subject to the exceptions of FIRMR 201-1.002-2.

FIRMR Bulletin A-1 gives examples of Federal Information Processing (FIP) resources and FIRMR applicability to prime contracts. Routine use of the Decision Tree contained therein is strongly encouraged. In addition to this Bulletin, the General Services Board of Contract Appeals (GSBCA) has issued numerous decisions (and will continue to do so) interpreting the FIRMR and two of the principal laws governing the acquisition of FIP resources: Public Law 89-306 (the Brooks Act of 1965) and Public Law 99-500 (the Paperwork Reduction Reauthorization Act of 1986). Many of these decisions discuss the scope of these laws and regulation and the limits of their exceptions and exclusions. This Bulletin and these GSBCA decisions should be consulted to help determine FIRMR applicability.

The responsibility for deciding (FIRMR 201-1.002-1(a)) whether the FIRMR applies to the management and use of FIP resources at the Installation resides with the Senior Installation Information Resources Management (IRM) Official (SIIO) (see Section 2, Designated Senior Official *[and IRM Organizational Structure]*, on page 2-1) or designee. This decision should occur as early in the life cycle of a FIP resources requirement as is possible. This will best assure the effective and efficient life-cycle management of FIP resources to satisfy NASA's missions and programs. The SIIO shall institute procedures that facilitate the identification of those resources and the application of the FIRMR and this NHB.

With respect to the acquisition of FIP resources by NASA, all NASA solicitations, contracts, and modifications shall be assessed to determine whether the FIRMR applies, using the criteria in

— NOTE —

GSA publishes the *ADP Protest Report*, which summarizes the decisions of the GSBCA. This report is recommended reading for all IRM, procurement, and legal personnel involved in the acquisition of FIP resources. A free subscription may be ordered in writing from the following address. GSA does not accept phone orders. Back issues may be ordered.

ADP Protest Report
GSA - IRMS - KMAD, Room 5116
18th and F Streets, NW
Washington, DC 20405

Section 1—Applicability and Authority

FIRMR 201-1.002-1(b) and the guidance in FIRMR Bulletin A-1. Each Installation Procurement Officer (PO), in coordination with the SIO and Chief Counsel, shall establish appropriate written procedures to accomplish this. At a minimum, these procedures should encourage the consistent application of the referenced criteria throughout the Installation and should ensure that a decision regarding FIRMR applicability shall be made on all NASA acquisitions. In addition, these procedures should assure that these decisions will be documented for all acquisitions exceeding \$50,000, filed, and readily available for review as prescribed in Section 20.305-3 on page 20-33.

A Contracting Officer (CO) is responsible for verifying that he or she has procurement authority for an acquisition and for assuring that he or she is acting within the limits of his or her Contracting Warrant Authority (CWA) and, if appropriate, Delegation of Procurement Authority (DPA). This NHB delegates to PO's, with the authority to redelegate to CO's in accordance with written Installation procedures that assure appropriate management oversight of the decision-making process, the authority to make decisions concerning the applicability of the FIRMR to NASA solicitations, contracts, and modifications. Notwithstanding, in the event of a disagreement within the Installation as to the applicability of the FIRMR to a NASA solicitation, contract, and modification, this NHB delegates to the SIO the authority to make final decisions on FIRMR applicability within the Installation. This authority may not be redelegated, except as provided below.

Because of the complexities involved in making a FIRMR applicability determination, the normal review and approval process of a NASA solicitation, contract, and modification should include an explicit review of the FIRMR applicability decision. For complex (for example, where FIRMR applicability is not readily apparent) or high-dollar-value acquisitions, use of an Installation FIRMR applicability committee, with representatives from the requirements, procurement, legal, and SIO organizations, is strongly encouraged. Where such a committee is formally established by the Installation, the SIO may redelegate his or her authority to make final FIRMR applicability decisions to such a committee. Questions or issues that arise concerning the applicability of the FIRMR to NASA solicitations, contracts, and modifications shall be directed initially to the cognizant CO, in coordination with the SIO or designee for such purposes, and the Office of Chief Counsel. Assigned analysts in the Offices of the Senior Program IRM Official (SPIO) (see Section 2, Designated Senior Official [*and IRM Organizational Structure*], on page 2-1), the Office of Management Systems and Facilities, IRM Division, Code JT, and the Office of Procurement, Competition and Program Operations Division, Code HS, may also be consulted. Code JT shall periodically publish a list of positions, names, office and NASAMAIL addresses, and office and facsimile phone numbers of NASA personnel in IRM-related functions, including these analysts.

1.002-2 Exceptions [*reserved*].

1.003 Authority. This NHB is prepared, issued, and maintained by the IRM Division, Code JT, by authority of NASA Management Instruction (NMI) 1103.50, Role and Responsibilities—Associate Administrator for Management Systems and Facilities, and NMI 2410.11, Information Resources Management.

1.003-1 References. The following references are the laws, Executive Orders, other Federal directives, and NASA Management Instructions (NMI's) governing IRM within the Federal Government.

In the area of IRM and the acquisition, management, and use of FIP resources, the principal references are as follows:

- Public Law 81-152 (40 U.S.C. 471), the Federal Property and Administrative Services Act of 1949;
- Public Law 89-306 (40 U.S.C. 759), the Brooks Act of 1965;
- Public Law 96-511 (44 U.S.C. 3501), the Paperwork Reduction Act of 1980;
- Public Law 99-500 (40 U.S.C. 759), the Paperwork Reduction Reauthorization Act of 1986;
- Federal Information Resources Management Regulation (Chapter 201, 41 Code of Federal Regulations [CFR]); and
- Federal Acquisition Regulation (Chapter 1, 48 CFR).

In the areas of privacy and security, the principal references are as follows:

- Public Law 93-579 (5 U.S.C. 552), Privacy Act of 1974;
- Public Law 97-255, The Federal Managers Financial Integrity Act;
- Executive Order 12356, National Security Information;
- National Security Decision Directive No. 145; and
- Public Law 100-235, The Computer Security Act of 1987.

In the area of electronic office equipment accessibility, the principal references are Public Law 99-506, Section 508 (29 U.S.C. 794d), and Public Law 100-542.

In the area of records management, the principal reference is Public Law 98-497 (44 U.S.C. 2901), the National Archives and Records Administration Act of 1984.

1.003-2 NASA IRM-Related Directives. The following NMI's apply to IRM in NASA:

NMI 1103.50 - *Role and Responsibilities—Associate Administrator for Management Systems and Facilities*

NMI 1450.11 - *NASA Mail Management Program*

Section 1—Applicability and Authority

- NMI 2210.2 - *Distribution of NASA Computer Programs*
- NMI 2410.7 - *Assuring the Security and Integrity of NASA Automated Information Resources*
- NMI 2410.10 - *NASA Software Management, Assurance, and Engineering Policy*
- NMI 2410.11 - *Information Resources Management*
- NMI 2520.1 - *NASA Communications System Acquisition and Management*
- NMI 2530.1 - *Interception or Recording of Telephone or Other Conversations*
- NMI 2530.12 - *Allocation, Control, and Provision of Communications Services and Facilities During Emergency Conditions*
- NMI 2540.1 - *Use of Government Telephones*
- NMI 4020.2 - *Personal Property Reporting Requirements*
- NMI 9630.4 - *Delegation of Authority and Procedures for Certifying Telephone Company Charges*

The following NMI's apply to the creation, maintenance, and use of NASA records:

- NMI 1382.2 - *Availability of Agency Records to Members of the Public*
- NMI 1382.17 - *Privacy Act—NASA Regulations*
- NMI 1382.18 - *Computer Matching Program*
- NMI 1415.1 - *NASA Reports Management Program*
- NMI 1420.1 - *NASA Forms Management Program*
- NMI 1440.5 - *NASA Vital Records Program*
- NMI 1440.6 - *NASA Records Management Program*
- NMI 1490.1 - *NASA Printing, Duplication, and Copying Management Program*
- NMI 2220.5 - *NASA Scientific and Technical Information Program*

NHB 2410.9, *NASA Automated Information Security Handbook*, implements NASA's Automated Information Security Program. NHB 4200.1, *NASA Equipment Management Manual*, and NHB 4300.1, *NASA Personal Property Disposal Manual*, implement NASA's equipment management and property disposal programs. NHB 5100.4, *Federal Acquisition Regulation Supplement* (NASA/FAR supplement) implements NASA-unique procurement policies and procedures.

SECTION 2—DESIGNATED SENIOR OFFICIAL *[AND IRM ORGANIZATIONAL STRUCTURE]*

2.000 Scope of Section. This section explains NASA's IRM organizational structure, identifies the Designated Senior Official (DSO), introduces the Senior Program IRM Official (SPIO) and Senior Installation IRM Official (SIIO), and prescribes the roles and responsibilities of the DSO, the SPIO, and the SIIO.

2.001 General. IRM within NASA is based on a 3-tiered organizational structure (see Exhibit 2-1 on page 2-2):

- At Level 1 is the Agency's DSO for IRM, appointed by the NASA Administrator to comply with the Paperwork Reduction Act of 1980. The Associate Administrator for Management Systems and Facilities has been appointed as the agency DSO (see also NMI 1103.50).

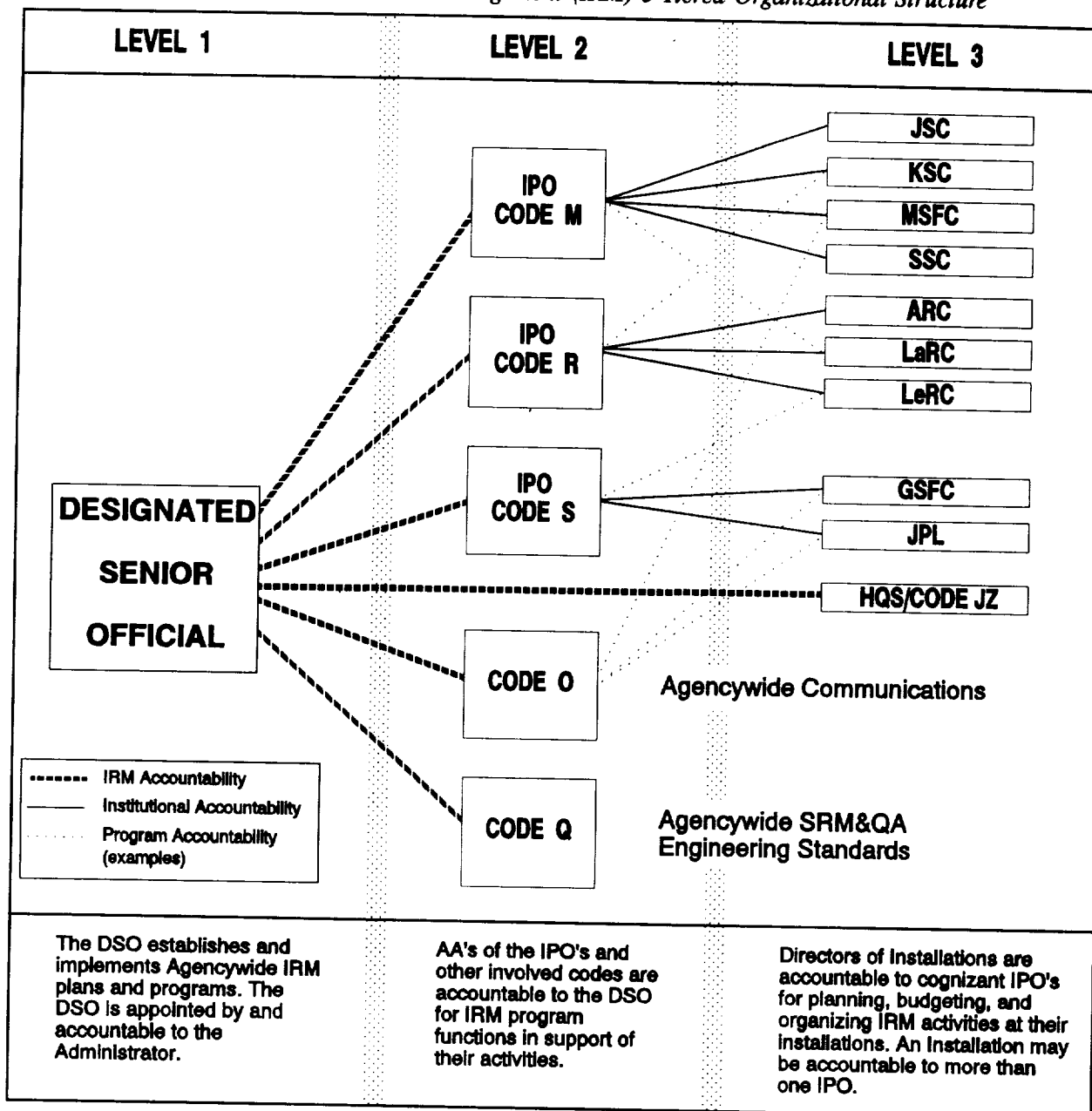
The DSO is accountable to the NASA Administrator for establishing and implementing an effective and efficient Agency IRM program. Generally, the focus at this level is Agencywide, across all programs and all Installations. The DSO shall carry out the IRM functions listed in FIRMR 201-2.001.

The DSO has delegated to the Director, IRM Division, Code JT, the responsibility and authority to establish and implement an Agency IRM program (see also NMI 2410.11). Code JT has functional oversight responsibility for all NASA IRM-related activities subject to the FIRMR. The DSO has delegated to the Director, HQ Information Systems and Technologies Division, Code JZ, the responsibility and authority to implement an effective and efficient IRM program for NASA Headquarters (HQS).

The Institutional Program Offices (IPO's) (explained below), other HQS Offices with IRM responsibilities, and the Installations shall fully support the DSO, the Director, IRM Division, and Code JT in accomplishing these responsibilities.

- At Level 2 are the IPO's:
 - Office of Space Flight (OSF), Code M, responsible for the Kennedy Space Center (KSC), Marshall Space Flight Center (MSFC), Johnson Space Center (JSC), and Stennis Space Center (SSC);
 - Office of Aeronautics and Space Technology (OAST), Code R, responsible for Ames Research Center (ARC), Langley Research Center (LaRC), and Lewis Research Center (LeRC); and
 - Office of Space Science and Applications (OSSA), Code S, responsible for Goddard Space Flight Center (GSFC) and the Jet Propulsion Laboratory (JPL), a contractor-operated facility.

Exhibit 2-1. Information Resources Management (IRM) 3-Tiered Organizational Structure



Also at Level 2 are the Office of Safety and Mission Quality (Code Q), and the Office of Space Communications (OSC) (Code O).

The IPO's and these other HQS Offices are either responsible for Installations that implement NASA's programs or, in the case of Codes O and Q, Agencywide programs. The Associate Administrators (AA's) for these HQS Offices are accountable to the DSO for establishing and

implementing effective and efficient IRM programs in support of their activities. Generally, the focus at this level is programwide, across program-related Installations.

The IPO's and the AA's for Codes Q and O shall designate an SPIO (preferably a member of the Senior Executive Service (SES) or equivalent), preferably reporting directly to the AA, responsible for carrying out the IRM functions of the IPO or Office.

IRM functions include the responsibilities in FIRMR 201-2.001 (a) (2) through (a) (5). For purposes of this NHB, read "program's" where the term "Agency's" appears in FIRMR 201-2.001 (a) (2) and (a) (3) of the subpart. In FIRMR 201-2.001 (a) (4) read "Implement Governmentwide, Agency, and Program" for "Implement Governmentwide and Agency." Relative to FIRMR 201-2.001 (a) (1) and (a) (6), the SPIO's shall assist Code JT in collecting Agency data and information.

Except as otherwise indicated in this NHB, all written communications between an Installation and the DSO shall be routed first through the cognizant SPIO. One exception: DPA's granted by the General Services Administration (GSA) will be redelegated by Code JT to the Installation PO or Trail Boss, subject to the review and concurrence of the redelegation by the cognizant SPIO and Code HS.

- At Level 3 are the Installations responsible for implementing the Agency's programs and assuring the institutional capabilities to accomplish them. Installation Directors are responsible for establishing and implementing effective and efficient IRM programs at their Installations in support of their programs and Agencywide policies. Generally, the focus at this level is Installationwide. Responsibilities include all programmatic and institutional FIP resources subject to the FIRMR.

The Installation's reporting responsibility depends on the purpose of the IRM initiative. If an IRM initiative has the purpose of supporting (for example, augmenting, improving, or so on) an institutional information resources capability, the Installation is accountable to the IPO; if an IRM initiative is associated with (for example, a part of, funded by, or so on) a specific program, the Installation generally is accountable to the funding Program Office.

An Installation may be accountable to more than one HQS Program Office. It is the responsibility of the cognizant IPO (Code M, R, or S), in cooperation with the funding Program Office, to minimize potential operational inefficiencies at the Installation or program level. This includes minimizing redundant IRM-related requirements involving planning, budgeting, organizing, and so on. The focal point for coordinating and resolving these issues is the SPIO in the IPO's.

The Installation Directors shall designate an SIIO (preferably a member of the SES or equivalent), preferably reporting directly to them, responsible for carrying out the IRM functions of the Installation.

These functions include the responsibilities in FIRMR 201-2.001 (a) (2) through (a) (5). For purposes of this NHB, read "Installation" where the term "Agency's" appears in FIRMR 201-2.001 (a) (2) and (3). In FIRMR 201-2.001 (a) (4), read "Implement Governmentwide, Agency,

Section 2—Designated Senior Official *[and IRM Organizational Structure]*

program, and Installation” for “Implement Governmentwide and Agency.” Relative to FIRM 201-2.001 (a) (1) and (a) (6) of the referenced subpart, the SIO shall assist Code JT in collecting Agency data and information.

Except as otherwise indicated in this NHB, all communications to the DSO from the Installation shall be signed by the SIO and routed through the SPIO. One exception is non-Trail Boss Agency Procurement Requests (APR's), which shall be reviewed by and concurred in by the SIO, but signed by and submitted to the SPIO by the Installation PO.

The DSO shall appoint an SIO for IRM-related activities for HQS as an Installation. This individual shall be accountable to the DSO, just as an SIO is accountable to his/her cognizant SPIO. Documentation, though, to be submitted to the DSO or GSA shall be transmitted through Code JT for review and concurrence.

- Each Level is responsible for implementing policies and procedures that encourage an environment conducive to IRM and foster compliance with all IRM-related laws and regulations. Each Level is also responsible for ensuring that these policies and procedures are carried out in the most effective and efficient manner possible.

2.002 Policies. The DSO is responsible for implementing the policies of the FIRM within the Agency. SPIO's are responsible for implementing the policies of the FIRM within their programs and institutions. SIO's are responsible for implementing the policies of the FIRM within their Installations.

- GSA's exclusive procurement authority must be redelegated to the CO responsible for an acquisition before a solicitation may be released or a contract (or modification) awarded that is subject to the FIRM. This includes redelegation of the Agency's regulatory (including specific Agency) DPA and all specific acquisition DPA's.

The DSO or designee shall redelegate these authorities, as appropriate, upon the advice of the cognizant SPIO (or for HQS acquisitions, the SIO appointed in Code J), other funding Program Offices, and Code HS, directly to the Installation PO, with the authority to redelegate such authority not inconsistent with the terms of the delegation. Where a CO relies upon a regulatory or specific agency DPA, the contract file shall be so noted. Where a specific acquisition DPA has been obtained, the DPA shall be included in the contract file.

DPA's for Trail Boss acquisitions shall be directly redelegated from the DSO or designee to the cognizant Trail Boss. The Trail Boss must redelegate this authority to the cognizant CO in writing prior to the release of a

— NOTE —

On September 23, 1988, the AA for Management delegated the agency's regulatory DPA to the Installations. On March 27, 1991, the AA for Management reduced that authority, effective April 28, 1991, in accordance with a reduction in NASA's regulatory DPA (see Enclosure C-1 on page C1-1). This NHB grants to the Installation PO's the authority to redelegate this specific agency DPA not inconsistent with the terms of the specific agency delegation.

solicitation for or the award of a contract (including modifications). The Trail Boss Program is discussed in Section 20.305-3 on page 20-42. Memoranda delegating this authority to the Trail Boss shall state that a DPA from the DSO does not make the Trail Boss a CO. CO's are appointed under procedures established by Agency heads in accordance with the Federal Acquisition Regulation (FAR) 1.6 and the corresponding NASA FAR Supplement (NFS) 18-1.6. They are the only individuals authorized to enter into contracts on behalf of the Government.

2.003 Procedures. Code JT is responsible for preparing a letter to GSA for the Administrator's signature, notifying GSA of any changes in the DSO. This letter will be prepared and forwarded to the Administrator within 5 workdays of any change in the DSO.

- The AA's for the IPO's and Codes Q and O are responsible for notifying the DSO in writing of the name, address, and telephone number of their SPIO's. AA's shall notify the DSO of any changes within 5 workdays. The same notification should be made to their Installations.
- Installation Directors are responsible for notifying their cognizant SPIO in writing of the name, address, and telephone number of the SPIO. Directors shall notify the cognizant SPIO of any changes within 5 workdays. The SPIO's shall notify the DSO of these changes.

SECTION 3—THE FIRMR *[AND THIS HANDBOOK]* SYSTEM

3.000 Scope of Section. In addition to clarifying the FIRMR system, this section describes the subject NHB in relationship to the FIRMR.

3.001 General. GSA has greatly reduced the content of the FIRMR (over previous versions) by moving procedural and informational material into bulletins. One reason GSA has given for doing this is to facilitate the future augmentation or modification of such material without the overhead of the regulatory process.

FIRMR bulletins generally are considered to be nonregulatory. Notwithstanding, GSA considers some bulletins, or parts thereof, to be mandatory upon the agencies. The mandatory FIRMR bulletins (or portions) are those that describe procedures that an agency must use in certain narrowly defined areas. In each such instance, the FIRMR itself states that the procedures laid out in the related FIRMR bulletins must be adhered to.

For example, concerning the submission and preparation of APR's, FIRMR 201-20.305-3 states that "[P]rocedures for requesting a DPA are provided in FIRMR Bulletin C-5"; that bulletin states in paragraph 11, "[T]he Agency will prepare each APR in accordance with the instructions provided in the Attachment...." That bulletin is mandatory, not advisory.

This NHB, in the appropriate sections, clarifies which bulletins (or portions) are advisory and which are more than advisory, based on directive language in the FIRMR. The enclosures to this NHB should be considered advisory unless otherwise noted.

3.1 PURPOSE

3.100 Scope of Subsection. This subsection describes the purpose of NHB 2410.1.

3.101 Purpose. This NHB sets forth policies and procedures, roles and responsibilities, and guidance to do the following:

- implement and oversee NASA's IRM functions; and
- acquire, use, and manage FIP resources subject to the Brooks Act of 1965, as amended, as implemented by the FIRMR.

The intent of this NHB is to implement, supplement, or clarify the FIRMR and the FIRMR bulletins by providing Agency-unique policies, procedures, and guidance. It is not intended to replace the FIRMR. The FIRMR, together with the FAR and the NASA/FAR Supplement (NFS), are the first reference documents to be consulted when acquiring FIP resources. Collectively, they are comprehensive, integrated, and, with the bulletins, comprehensible. Together with this NHB, they constitute the

body of policies and procedures governing NASA's acquisition, management, and use of FIP resources.

3.102 Relationship to the Federal Acquisition Regulation (FAR). The FAR and NFS apply to all NASA acquisitions. NASA-unique procurement guidance, which supplements or clarifies FIRMR Part 201-39 (Subchapter D), is covered in the NFS Part 18-39. (See also Section 39, Acquisition of FIP Resources by Contracting, on page 39-1.)

3.2 ADMINISTRATION OF THE FIRMR *[AND THIS HANDBOOK]*

3.200 Scope of Subsection. This subsection discusses the issuance, structure (vis-à-vis the FIRMR), and maintenance of this NHB.

3.201 Issuance. This NHB is subject to the requirements of NHB 1410.12, *NASA Management Directives System Handbook*. Amendments will be processed in accordance with Chapter 7, NHB 1410.12.

Interim changes may be issued by letter of instruction over the signature of the DSO. Such changes will be formally incorporated as soon as practicable into this NHB.

Additionally, IRM Information Notices (IIN's) will be used by Code JT to provide information or interim guidance on IRM policy and acquisition management issues that may or may not require an update to this NHB.

3.202 Structure. This NHB is organized to correspond to the arrangement of the FIRMR, that is, it uses the same numbering and titling system.

- The FIRMR has 4 subchapters: A to D, so this NHB has 4 chapters: A to D. Each chapter of this NHB has the same title as its corresponding FIRMR subchapter.
- Likewise, each part and subpart in a FIRMR subchapter has a corresponding section and subsection in this NHB. See Exhibit 3-1 on page 3-3 for a structural comparison of the FIRMR to this NHB.
- This NHB sometimes will have a subsection that has no comparable FIRMR subpart. This was done to address NASA policy and procedures for which there is no comparable subpart in the FIRMR. These subsections are included in those sections most closely related to the topic being covered.
- If there are no unique Agency policies, procedures, or guidance concerning a part or subpart of the FIRMR, then this NHB uses the term "[reserved]" next to the corresponding section or subsection title, meaning that this NHB has nothing more to add to the FIRMR part or subpart. The use of the term "[reserved - TBD]" (where TBD means "To Be Determined") in this NHB means that the NHB section or subsection will be augmented in the future with Agency-specific policies,

Exhibit 3-1. *Similarity of Structure Between FIRMR and NHB 2410.1*

FIRMR			NHB 2410.1		
FIRMR 201-1.000			NHB 2410.1, Chapter A, Section 1, Subsection 1.000		
Subchapter	A	General	Chapter	A	General
Part	201-1	Applicability and Authority	Section	1	Applicability and Authority
Subpart	1.000	Scope of Subpart	Subsection	1.000	Scope of Subsection

procedures, or guidance. The use of the term “[FIRMR reserved]” in this NHB means that the FIRMR has reserved the part.

- Enclosures are appended to some NHB chapters in the same manner that FIRMR bulletins are appended to some FIRMR subchapters, but there is no intended correlation between bulletins in the FIRMR and enclosures in this NHB as between parts or subparts and sections or subsections.

3.203 Maintenance. NASA personnel who desire to submit comments, questions, or suggestions to GSA regarding the FIRMR will submit them through the SIIO to Code JT. All such communications will be forwarded to GSA by Code JT, NASA’s exclusive liaison with GSA for IRM matters.

3.204 Copies. Distribution of the FIRMR within NASA is controlled by Code JT. NASA personnel may be placed on the distribution list or may obtain extra copies by contacting the designated distribution point for their Installation. The IRM Policy and Acquisition Management Office, Code JTD, is the contact point only for HQS and the Installation distribution points. Code JTD is the Agency point of contact responsible for collecting all Installation FIRMR distribution requirements, for developing the Agency Distribution List (ADL) for the FIRMR, and for submitting the ADL to the Agency liaison for the Government Printing Office (GPO). The FIRMR and its updates and bulletins are distributed directly by the GPO to the Installation distribution points as indicated on the ADL. Code JTD is also the Agency point of contact to collect Installation requirements for other GSA publications.

This NHB is available in single copies to Government employees from Code JTD. For bulk requests, contact the Management and Analysis Systems Office, Code JM-2, Federal Telephone Service (FTS) 453-2924, commercial (202) 453-2924. Copies of this NHB are sold to contractors, the public, and other non-Government entities by the NASA Information Center, Code JBD-4, Washington, DC 20546. The Center’s telephone number is (202) 453-1000. The current price is \$31.00 (for domestic mail) and \$62.00 (for international mail).

3.3 AGENCY REGULATIONS

3.300 Scope of Subsection. This subsection prescribes the policy and limitations regarding the issuance of Agency regulations, NMI's, NHB's, other directives; and guidance to implement or supplement the FIRMR or this NHB.

3.301 Policy. The DSO (through Code JT), SPIO's, and SIIO's may issue or authorize the issuance of additional policies, procedures, and guidance to supplement the FIRMR or this NHB in order to accomplish their responsibilities under the FIRMR and this NHB, subject to NHB 2410.12. Supplementation by the IPO's and Installations will be periodically reviewed by Code JT in accordance with Section 22, Review and Evaluation, on page 22-1. The establishment of coordinated organizational-level IRM councils (consisting of senior executives representing a range of organizational interests) to facilitate the accomplishment of IRM goals, objectives, and initiatives is strongly recommended.

3.302 Limitations. These additional policies, procedures, and guidance shall be consistent with the limitations of FIRMR 201-3.302 and not inconsistent with any higher-level Agency regulations, NMI's, NHB's, or other directives.

3.4 DEVIATIONS FROM THE FIRMR *[AND FROM THIS HANDBOOK]*

3.400 Scope of Subsection. This subsection prescribes policies and procedures to obtain approval to deviate from the FIRMR or this NHB.

3.401 Policy. Deviations from this NHB will be kept to a minimum and shall be authorized only upon a demonstrable need to prevent serious impacts on the accomplishment of an Agency mission. Individual and class deviations may be authorized by the DSO.

3.402 Exceptions *[reserved]*.

3.403 Procedures.

- Requests to deviate from the FIRMR or this NHB shall be initiated at the Installation level. Each request shall do the following:
 - cite the part or subpart and section or subsection to be deviated from;
 - fully explain the nature of and the reasons for the deviation; and
 - discuss the technical, financial, or schedule effects on an Agency mission if the deviation is not granted.
- Efforts should be made to limit deviation requests to 2 typewritten pages, including any attachments or enclosures.

3.4 Deviations from the FIRMR *[and from this... Section 3—The FIRMR *[and this Handbook]* System*

- NHB deviation requests shall be submitted to the DSO for approval over the SIIO's signature, through the cognizant SPIO. Deviation requests will be coordinated by Code JT through Code HS and, if appropriate, the Office of General Counsel (Contracts), Code GK. Decisions of the DSO are final.
- For FIRMR deviations, the same process shall be followed, but after DSO concurrence, the deviation request shall be submitted to GSA in accordance with the instructions in the FIRMR. GSA usually requires not fewer than 90 days to act upon *any* FIRMR deviation request, even when time is of the essence.
- Copies of all deviations authorized by FIRMR 201-3.402 shall be routed by the SIIO or designee through the SPIO to the DSO for delivery to GSA. This NHB delegates to the SIIO the authority to make the determinations in FIRMR 201-3.402(a).
- All approved deviation requests shall be filed by the SIIO or designee for easy access and reference at the Installation. If an acquisition is affected by the request, a copy of the approved deviation shall be included in the permanent contract file.

SECTION 4—DEFINITIONS AND ACRONYMS

4.000 Scope of Section. This section supplements, interprets, and clarifies the definition of terms and acronyms used in the FIRMR and this NHB.

4.001 Definitions.

- The term “Automatic Data Processing Equipment” (ADPE), as defined by Public Law 99-500, the Paperwork Reduction Reauthorization Act (see FIRMR Bulletin A-1, paragraph 6), and “Federal Information Processing (FIP) resources,” as defined in the FIRMR (see FIRMR 201-4.001 and FIRMR Bulletin A-1, Attachment A), refer to the same body of information technologies, products, and services. The referenced law merged, within the definition of ADPE, almost all information technologies, products, and services, including telecommunications. The law eliminated past distinctions based on use, availability, and production. The law also eliminated all distinctions based on the “very subject matter” of the contract. To highlight this merging of technologies, GSA introduced the phrase “FIP resources.”
- The term “Information Resources Management” (IRM) is defined in FIRMR 201-4.001. The term encompasses both information itself and its related resources, such as personnel, funds, and technology. IRM is a concept used to integrate, focus, and leverage the variety of activities associated with managing information throughout its life cycle (from collection or creation through final disposition) to further an agency’s mission and program goals and objectives. IRM involves managing data and information in such a way that end-users, managers, and executives are able to obtain and use information effectively and efficiently. IRM brings together the myriad technologies that encompass FIP resources today, including automatic data processing, data administration, telecommunications, office automation, and records and paperwork management, but it extends these technologies to include the flow of, use of, and responsibility for information throughout an operating entity.
- Regarding the term “FIP resources,” only the following categories of FIP resources will be used to make the determinations covered by FIRMR 201-20.305 (that is, to determine the need for a specific acquisition DPA):
 - FIP equipment;
 - FIP software;
 - FIP services; and
 - FIP support services.

(The Agency has a regulatory DPA to acquire FIP-related supplies, regardless of value.)

Section 4—Definitions and Acronyms

FIP maintenance is considered a subset of FIP support services. The term “FIP system” has no role in making such determinations. If a FIP system is being acquired, its component resources (for example, FIP equipment, software, and so on) must be individually valued and compared to the appropriate thresholds to make the determination.

4.002 Acronyms. See Appendix, Acronyms, on page APP-1.

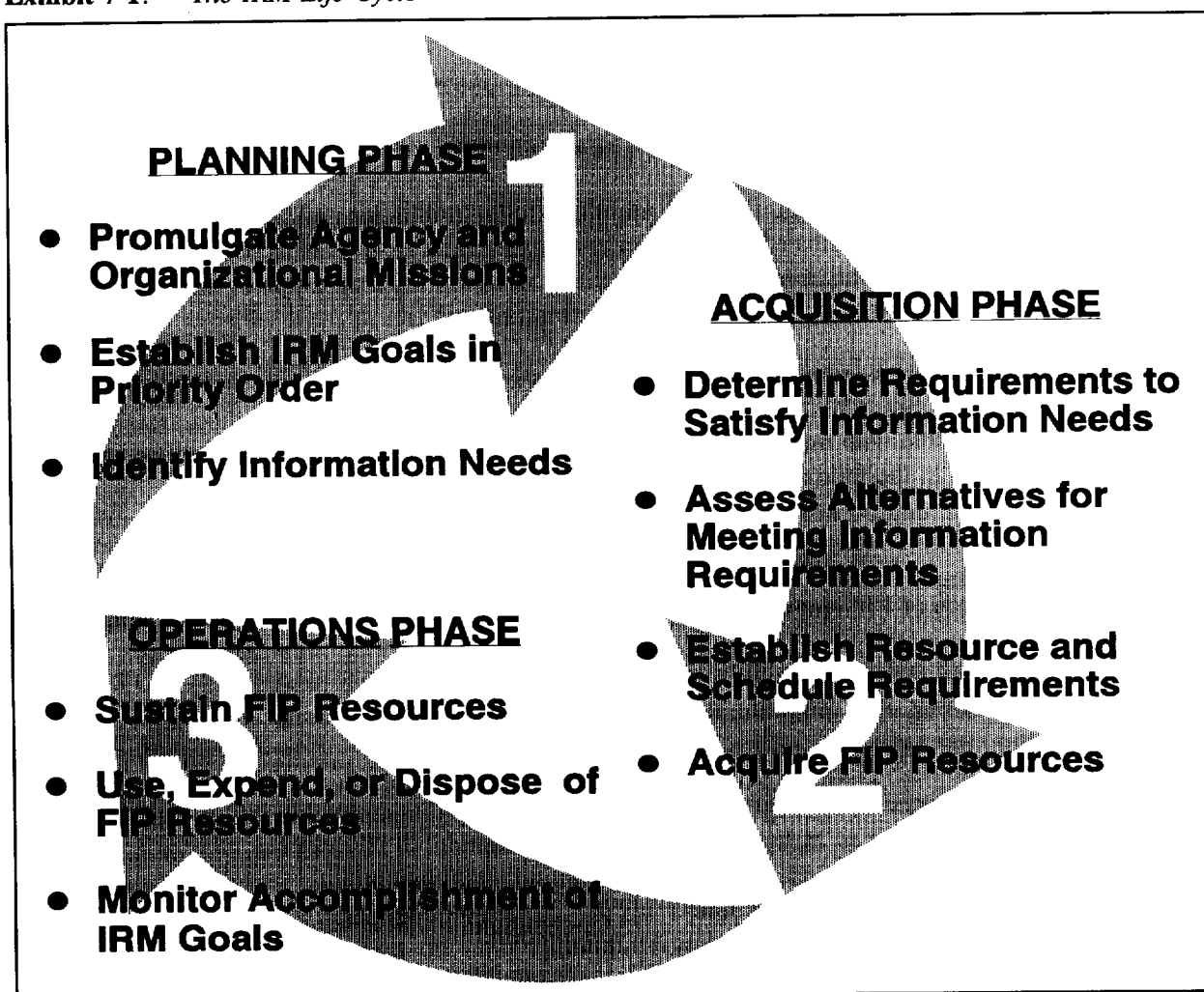
CHAPTER B—MANAGEMENT AND USE OF INFORMATION

SECTION 7—PLANNING

7.000 Scope of Section. This section prescribes additional policies and procedures regarding the information resources planning process in NASA.

7.001 General. As noted in the definition in Section 4, Definitions and Acronyms, on page 4-1, IRM is an institutionalized integrated life-cycle management discipline. It is strategically based, but fully integrates all major life-cycle activities. See Exhibit 7-1, The IRM Life Cycle, below.

Exhibit 7-1. *The IRM Life Cycle*



Section 7—Planning

Fundamental to these activities is the requirement to translate the programmatic and institutional missions of the Agency into information needs, which, in turn, can be engineered into an integrated model of what and how information flows as the Agency conducts its business. Only when such information is known can effective and efficient FIP systems be developed that meet the needs of the Agency today and in the future. This is the thrust of FIRMR Part 201-7. (The specific requirements to conduct the required analysis of this part are discussed at the end of this section.)

Help in accomplishing an analysis of information requirements is found in information architecture-oriented methodologies. Common to these methodologies is their disciplined (that is, structured) approach to the development of FIP systems and applications, keyed to an organization's strategic goals and the information needs to accomplish these goals. These methodologies focus on developing a clear understanding—prior to automating—of the following:

- component mission or functional areas and their strategic directions;
- the nature and relationships of information needed to perform the mission or function; and
- the methods by which information is processed and reported.

7.002 Policy. Code JT, the IPO's, Codes Q and O, and the Installations will engage in a hierarchal, mutually supportive, and coordinated information resources planning process to plan for the creation, collection, processing, transmission, use, storage, dissemination, and disposition of information and associated FIP resources, including ensuring information accessibility to the disabled.

Information resources plans and budgets shall be aligned with the Agency's goals and objectives and program plans and budgets. This should ensure that acquisitions of FIP resources meet mission and program needs consistent with budget constraints. At a minimum, this information resources planning process should assist in the following:

- formalizing the major Agency organizational IRM goals and objectives;
- correlating the use of FIP resources for mission or functional needs and management priorities; and
- identifying, planning, and budgeting for information requirements and usage.

This information resources planning process should also foster the use of techniques that improve the effectiveness and efficiency of the organization or function (or major sector thereof) to use FIP resources (perhaps differently) so as to optimize the accomplishment of the mission.

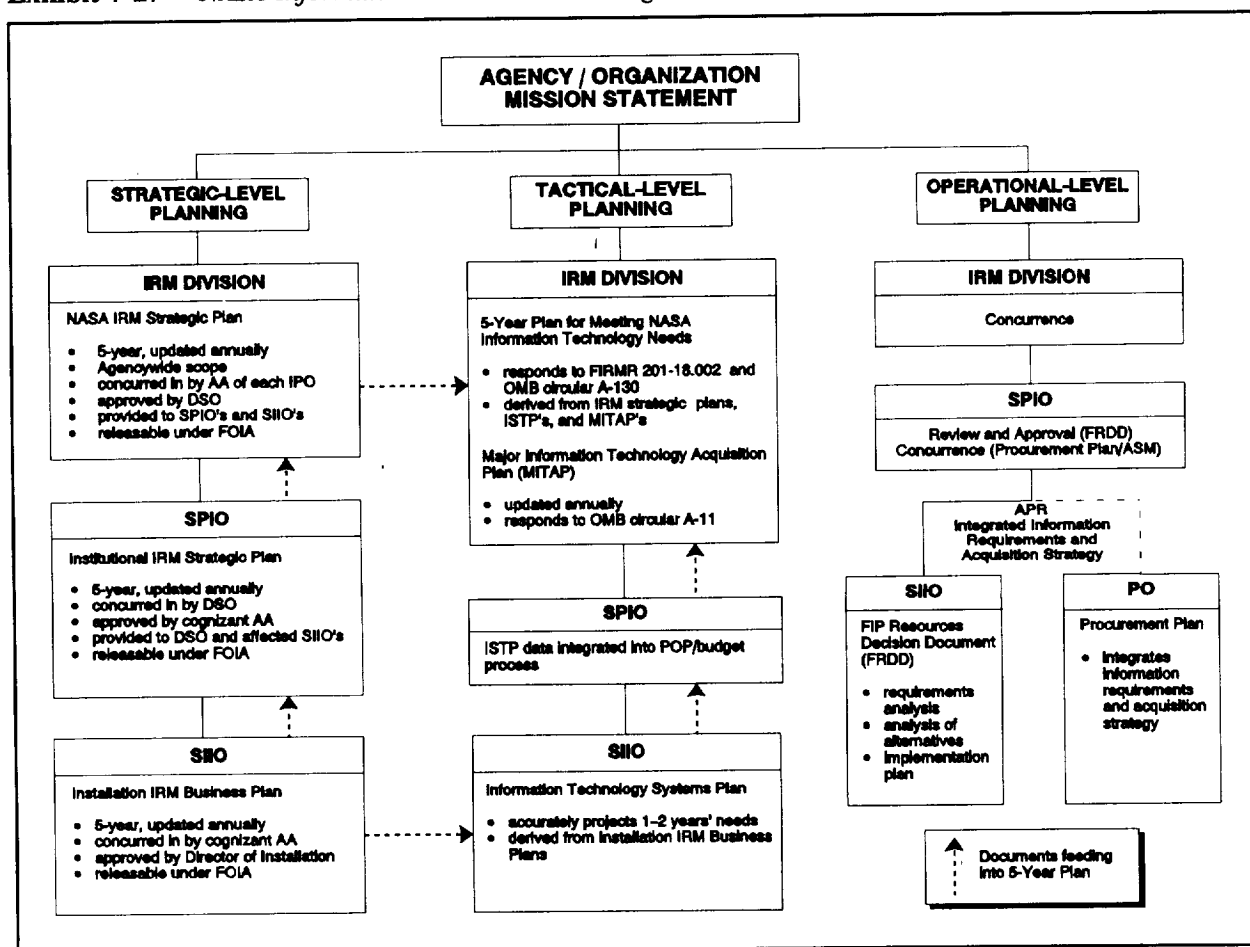
- In this regard, each major organizational level should consider adopting written structured methodologies to establish information requirements and to plan for, analyze, design, and construct FIP systems, on an Agencywide, Programwide, and Installationwide basis or across a major sector of one of these.

- These sectors could be organizationally or functionally based, and their scope is an organization's prerogative. For example, the Automated Information Management (AIM) Program focuses on meeting the informational requirements of the Agency's institutional management and operations sector (a function-based sector). The AIM Program's scope was defined at the Agency level.

The information resources planning process will be reviewed periodically by HQS to determine its effectiveness and will be adjusted accordingly. Code JT shall do this during its periodic IRM review of the IPO's and Installations. The IPO's and Installations shall perform similar reviews. (See Section 22, Review and Evaluation, on page 22-1.)

7.003 Procedures. The NASA information resources planning process is graphically depicted as a documentation tree in Exhibit 7-2 below.

Exhibit 7-2. NASA Information Resources Planning Process Documentation Tree



- **Strategic-Level Planning.** Because every NASA acquisition should be able to be correlated to the accomplishment of a NASA mission, every expenditure for FIP resources should be traceable (directly or indirectly) to an IRM strategic plan that is tied to achieving an Agency programmatic or institutional mission. The objective of strategic-level planning is to ensure that FIP resources are available to support the accomplishment of NASA's missions.

These strategic IRM plans should include an overview of the information needs to accomplish an organization's (or sector's) mission as effectively and efficiently as possible and an overview of how technology can be used to improve the organization or function (or sector thereof). (See criteria for information requirements analysis below and in FIRMR 201-20.103-1.)

Each organizational level shall develop an IRM strategic plan for the scope of that organization. These plans shall be compatible with both the FIRMR and the parent IRM organization's strategic plans. Code JT is responsible for implementing an Agencywide process to accomplish this goal. SPIO's and SIIO's are responsible for implementation of this process at their respective organizational levels.

The following organizational levels, at a minimum, shall conduct IRM strategic planning:

- Code JT shall develop and maintain a *NASA IRM Strategic Plan*. It shall be a 5-year plan focusing on Agencywide IRM strategic initiatives and opportunities. This plan shall be concurred in by the AA of each IPO and the AA's for Space Communications and Safety and Mission Quality and shall be approved by the DSO. It shall be reviewed and updated annually by its anniversary date. A copy of the *NASA IRM Strategic Plan*, including all updates, shall be provided to the SPIO's and SIIO's. This plan should be releasable in its entirety under the Freedom of Information Act (FOIA).
- Each SPIO shall develop and maintain an *Institutional IRM Strategic Plan* for his or her respective Installation or program (as in the case of Codes Q and O). Each plan should address, in strategic terms, the institutional needs of the IPO and its Installations to accomplish the programs to be funded for the next 5 years. Each plan shall be concurred in by the DSO and approved by the cognizant AA. It shall be reviewed and updated annually by its anniversary date. A copy of each *Institutional IRM Strategic Plan*, including all updates, shall be provided to the DSO and the affected SIIO's. This plan should be releasable in its entirety under FOIA.
- Each SIIO shall develop and maintain an *Installation IRM Business Plan* for the Installation. Each Installation's plan should address, in strategic terms, its information and concomitant information technology (IT) needs as well as the means by which to satisfy these needs for the next 5 years. Each plan shall be approved by the Director of the Installation and concurred in by the cognizant AA. (The DSO shall approve the HQS IRM Business Plan.) It shall be reviewed and updated annually by its anniversary date. A copy of each *Installation IRM Business Plan*, including all updates, shall be provided to the DSO and the affected SPIO's. This plan should be releasable in its entirety under FOIA.

- **Tactical-Level Planning.** Code JT shall conduct tactical-level planning in conjunction with the IPO's, OSC, and the Installations. The objective of tactical-level planning is to ensure that specific requirements of FIP resources are forecasted into the process. The planning components are the Installation *Information Technology Systems Plans* (ITSP), *Major Information Technology Acquisition Plan* (MITAP), and the *5-Year Plan for Meeting NASA Information Technology Needs*. These plans are discussed in more detail in Section 18, Planning and Budgeting, on page 18-1. The releasability of ITSP data and information for FOIA purposes is discussed in Section 39.3305 on page 39-24. The MITAP and *5-Year Plan for Meeting NASA Information Technology Needs* should be releasable in their entirety under FOIA.
 - An ITSP provides Installation-level data and information on specific IT acquisitions. This plan has a high fidelity for a 1- to 2-year horizon. Installation ITSP's shall be derived from the appropriate *Installation IRM Business Plan* and shall be compatible with the appropriate *Institutional IRM Strategic Plan*.
 - The MITAP addresses the requirements of Office of Management and Budget (OMB) Circular A-11, *Preparation and Submission of Budget Estimates*, as modified by an annual call letter from OMB. It is produced by Code JT from the Installation ITSP submissions.
 - The *5-Year Plan for Meeting NASA Information Technology Needs* addresses the requirements in FIRMR 201-18.002 (and OMB Circular A-130) to provide a comprehensive picture of how NASA intends to meet its IRM requirements in the reporting period. This plan integrates major program IT and budgetary requirements. It is produced by Code JT from data and information in the IRM strategic plans, the ITSP's, and the MITAP.
- **Operational-Level Planning.** The objective of operational-level planning at the implementation level (typically the Installation) is to ensure that programmatic and acquisition considerations are integrated into an effective and efficient plan to acquire FIP resources. There are two planning components: information resources and acquisition.

With regard to information resources planning, managers at the implementation level are responsible for defining FIP resources requirements to meet specific needs and for identifying plausible alternatives for satisfying those requirements. These requirements and the supporting analyses will be documented in a FIP Resources Decision Document (FRDD). The components of the FRDD include the following:

- a requirements analysis (see FIRMR 201-20.1);
- an analysis of alternatives (see FIRMR 201-20.2); and
- an implementation plan (see FIRMR 201-20.3).

— NOTE —

Much of the information documented in a FIP Resource Decision Document (FRDD) was previously documented in either an ADPE Acquisition Plan or FIP Resources Acquisition Plan (FIPRAP).

Acquisition planning is generally accomplished through a procurement plan or an Acquisition Strategy Meeting (ASM). The specific requirements of the procurement plan are discussed in Part 7 of the FAR and Part 18.7 of the NFS. The contents of an ASM are discussed in a brochure entitled “Guidance for the Establishment and Conduct of Acquisition Strategy Meetings,” and is included in the *Streamline Acquisition Handbook*, a copy of which may be obtained from Code HS (see also NFS 18-7.7105).

While the development of an acquisition strategy is driven by the requirements and analyses documented in the FRDD, acquisition planning should not wait to begin until the completion and approval of the FRDD. In addition to the benefits that can be derived from the early coalescing of the acquisition team (these benefits are described in detail in Section 20, Acquisition, on page 20-2 at the third bulleted item), there are similar or dependent considerations that need to be addressed by both planning activities (for example, budget and funding profiles, schedules, sources, market availability, and so on).

For these reasons, it is strongly encouraged that information resources and acquisition planning be coordinated (and integrated) to the extent possible. In this regard, HQS approval of APR's (and their submission to GSA) will be dependent upon prior approval, as required, of all supporting documentation, including FRDD's, procurement plans or ASM's, Justifications for Other Than Full and Open Competition (JOFOC's), and so on. This is explained in more detail in Subsection 20.305-3 on page 20-35.

- Every acquisition subject to the FIRMR must have a requirements analysis (FIRMR 201-20.102) and every requirements analysis can be prepared only after a determination of information needs (FIRMR 201-20.103-1). Those needs must support the accomplishment of an Agency mission. Therefore, no acquisition of FIP resources is authorized unless it is derived from and traceable (directly or indirectly) to both a strategic IRM plan and a complementary information analysis. Accordingly, organizations shall conduct analyses of their information needs. At a minimum, these analyses will assess the functions, processes, and activities of the organization, synthesize and integrate them, establish interrelationships, and define the major classes of information required.

SECTION 9—CREATION, MAINTENANCE, AND USE OF RECORDS *[RESERVED]*

See the following NHB's:

- NHB 1420.2 - *Index of 'NASA' and 'NHQ' Prefixed Forms*
- NHB 1440.6 - *NASA Records Management Program*
- NHB 1441.1 - *NASA Records Disposition Handbook*
- NHB 1442.1 - *NASA Uniform Files Index*
- NHB 1450.10 - *NASA Correspondence Standards*
- NHB 2200.2 - *NASA Scientific and Technical Information Handbook—Documentation, Approval, and Dissemination*

CHAPTER C—MANAGEMENT AND USE OF FIP RESOURCES

SECTION 17—PREDOMINANT CONSIDERATIONS

17.000 Scope of Section. This section identifies predominant considerations additional to those contained in the FIRMR 201-17.001.

17.001 Predominant Considerations.

- FIP resources shall be acquired, managed, and used in the most effective and economical manner, consistent with Agency, program, and Installation goals, objectives, policies, directives, plans, and budgets, so as best to achieve the missions of the Agency.
- Acquisitions of FIP resources shall foster full and open competition, today and in the future. Specifications for FIP resources shall be expressed in the following order of preference:
 - functional requirements;
 - a combination of functional and equipment performance requirements;
 - equipment performance requirements;
 - brand-name or equal requirements, which require the identification of salient characteristics;
 - design requirements, including specific make and model requirements; and
 - only one responsible source.
- Opportunities to combine FIP resource requirements for acquisition purposes should be explored and documented in writing as part of the requirements analysis. Consolidation opportunities should be exploited whenever the benefits of effectivity (that is, interoperability, compatibility, and portability) and economy offset the risks (for example, performance, cost, schedule, size, complexity, and so on) associated with such an acquisition. (A letter signed by the Deputy Administrator, dated April 26, 1991, fully endorses this policy, and is available on request from Code JT.) Conversely, the intentional fragmentation of FIP resource requirements to avoid regulatory or NHB requirements is prohibited.
- The process of acquiring FIP resources should be used, where appropriate, to implement Federal standards such as the Federal Information Processing Standards (FIPS) and other standards (that is, Agency, program, Installation or *de facto* industry standards) as a way to increase the trans-portability of the Agency's data and information, the compatibility and interchangeability of FIP equipment, and the portability of FIP software.

SECTION 18—PLANNING AND BUDGETING

18.000 **Scope of Section.** This section prescribes procedures for obtaining data and information and for producing the Installation ITSP's, *5-Year Plan for Meeting NASA Information Technology Needs*, and MITAP.

18.001 **General.** The IRM strategic plans and the Installation ITSP's are the principal source documents for producing the MITAP and *5-Year Plan for Meeting NASA Information Technology Needs*. In addition to the procedures prescribed here, the annual call from Code JT for the ITSP information shall include additional instructions. The annual call for the ITSP will be based on OMB's schedule requirement for the MITAP.

The MITAP shall be submitted by Code JT to the NASA Chief Financial Officer (CFO)/Comptroller (Code BR) for submission to OMB, as specified by FIRMR 201-18.001, OMB Circular A-11, and OMB's annual call instructions. A copy of the MITAP shall also be forwarded to GSA by Code JT to the following address:

General Services Administration
Information Resources Management Service
Attention: KMAS
Washington, DC 20405

The *5-Year Plan for Meeting NASA Information Technology Needs* shall be submitted by Code JT to GSA, as specified by FIRMR 201-18.003, by February 1 of each year.

18.002 **Policies.** Each SPIO shall strive to minimize the redundancy of separate IPO-unique calls for IT planning and budget data that require Installations to collect, process, and report data differently to more than one IPO. Each SPIO should seek ways to use the ITSP and other Agency data to the extent practicable and feasible, minimizing the need for additional and unique data calls. (The SPIO's should bear in mind that the ITSP data call stresses the importance of correlating each Installation's ITSP submission with the most recent program operating plan (POP) call.) In cooperation with Code JT, the SPIO's routinely should assess and implement procedures that minimize disparate IPO planning and budget call requirements.

The requirement prescribed in paragraph 10b of FIRMR Bulletin C-20, *National Security and Emergency Preparedness (NSEP) Telecommunications*, is directive upon the Agency and shall be addressed in the *5-Year Plan for Meeting NASA Information Technology Needs*.

The computer security planning prescribed by the Computer Security Act of 1987 shall be as prescribed in NHB 2410.9 and NFS 18-4.470, and a synopsis of the Agency's Automated Information Security (AIS) program, including AIS management philosophy, accomplishments, goals, and objectives, shall be included in the *5-Year Plan for Meeting NASA Information Technology Needs*.

Section 18—Planning and Budgeting

Attachment A of FIRMR Bulletin C-8, *Information Accessibility for Employees with Disabilities*, and Attachment C of FIRMR Bulletin C-10, *Telecommunications Accessibility for Hearing and Speech Impaired Individuals*, are directive upon the Agency, and shall be incorporated into tactical and operational planning activities. However, each SIIO may propose similar, but alternate, guidelines that do not deviate in scope or intent. Alternate guidelines shall be approved by the SIIO and submitted through his or her cognizant SPIO to Code JT for review and concurrence.

18.003 Procedure. The procedures below for preparing and submitting the subject plans are to be followed in addition to the instructions prescribed in FIRMR 201-18.003 and the subject OMB circulars (including the instructions in the annual call from OMB, which usually modify those instructions).

- **Major Information Technology Acquisition Plan (MITAP).** Acquisition planning for specific FIP resource requirements begins with the forecasting of specific requirements into the tactical-level plans and budget projections of each Installation, each IPO, and the Agency.

The MITAP is the principal planning document to accomplish this annually. The contents of the MITAP are prescribed in Section 43 of OMB Circular No. A-11, *Preparation and Submission of Budget Estimates*. The MITAP is produced by Code JT from data and information submitted by the Installations: the ITSP.

In NASA, the MITAP is designed to do the following:

- promote short-term and long-range planning of FIP resources at all organizational levels;
- ensure that functional requirements and technical specifications for FIP resources have been described and independently validated; and
- provide information to the oversight Agencies (GSA and OMB) that have responsibility for overseeing the acquisition, management, and use of FIP resources by Government Agencies.

Because OMB intends to tie the MITAP into the budget pass-back and approval process, there must be direct correlation among an Agency's mission statement and goals and objectives, the programmatic and institutional requirements to achieve them, the MITAP, and an Agency's budget request. All NASA acquisitions of FIP resources subject to the FIRMR, and exceeding the MITAP reporting thresholds, must be *directly* traceable to the MITAP. Consequently, the MITAP shall include the required information on all FIP resources subject to the FIRMR and exceeding the reporting thresholds of OMB Circular A-11.

As prescribed in OMB Circular A-11, adhering to the specified format, the MITAP consists of the following:

- a summary report of all Agency obligations for FIP resources, subject to the FIRMR, including related costs as defined by OMB (this constitutes the Exhibit 43A);

- an Agency acquisition plan that identifies and describes anticipated acquisitions of FIP resources, where the cumulative cost exceeds an OMB-specified threshold over a specified period of time (this constitutes the Exhibit 43B); and
- a separate report (in the form of both a 43A Exhibit and a cost/benefit analysis) for each FIP resource initiative that is a *new start*, with life-cycle costs exceeding an OMB-specified threshold (this constitutes the Exhibit 43C). A “new start” means that the first funding for the initiative appears in the budget year being reported; this includes all life-cycle costs: concept formulation through implementation.

Each year, Code JT will issue a call in the form of a letter to the SPIO's and the SIIO in Code J for data to assist Code JT in producing the MITAP. The SPIO's and the SIIO in Code J are responsible for collecting this data from their Installations, through the SIIO's. The SIIO's are responsible for developing and submitting this data and an ITSP to their SPIO's (Code JT for HQS acquisitions) in the required format. The format will be described in the instructions accompanying the call letter. The submission to Code JT shall consist of the following:

- the text of the ITSP, which contains a description of the Installation's FIP resource acquisitions for the prior year (budget year minus 2), the current year (budget year minus 1), the budget year, and the out-years (budget year plus 1 through budget year plus 4 years); and
- a data submission, in the specified automated format, of the information described above.

The data (and the NASA ADP Budget System (NABS) reports generated from this data) shall be reviewed and validated by the SPIO's for the IPO's and Code J (for HQS acquisitions) and coordinated with their budget and program operating plans. The validated data will be synthesized by Code JT into the MITAP and the 5-Year Plan for Meeting NASA Information Technology Needs. This data will also be used throughout the fiscal year by Code JT, the SPIO's, and the SIIO in Code J during the review of specific APR's, FRDD's, and procurement plans and to identify consolidation opportunities.

- **5-Year Plan for Meeting NASA Information Technology Needs.** This plan shall be structured as shown in Exhibit 18-1 on page 18-4 with the indicated scope.

In accordance with FIRMR Bulletin C-8, paragraph 11a, the plan also should establish electronic equipment and telecommunications accessibility goals for the disabled and should monitor progress toward achieving such goals.

— NOTE —

This structure may require adjustment, based on the annual call instruction from OMB.

Exhibit 18-1. 5-Year Plan for Meeting NASA Information Technology Needs

1. Executive Summary —A brief synopsis of the significant highlights in the plan.
2. Introduction —An overview of the Agency's mission statement, goals, objectives, major program areas, and organization.
3. Agencywide Information Resources Planning —A discussion of the Agency's IRM goals and objectives, the information resources planning process, planning assumptions, and expected benefits.
4. NASA Programs —A discussion of each major program area, highlighting its mission, goals, and objectives, organization, major projects and related IT initiatives, and accomplishments. This discussion should include the contribution of the Agency's IRM activities in accomplishing the mission of the programs and the Agency.
5. Information Technology Budget —A tabular summary of various IT funding profiles: Agency budget versus Agency IT budget; the Agency IT budget by program area, and each Installation's IT budget.
6. Attachments — <ol style="list-style-type: none">Strategic overview (covering the topics requested in the OMB call letter).MITAP, comprising the Exhibits 43A (Agency) and 43B (by Installation) submissions to OMB only.A summary of the management philosophy, accomplishments, goals, objectives, and initiatives (current and proposed) of the NASA Automated Information Security (AIS) Program.Information Collection Budget (anticipated new requests for information from the general public in a format prescribed by OMB).

SECTION 20—ACQUISITION

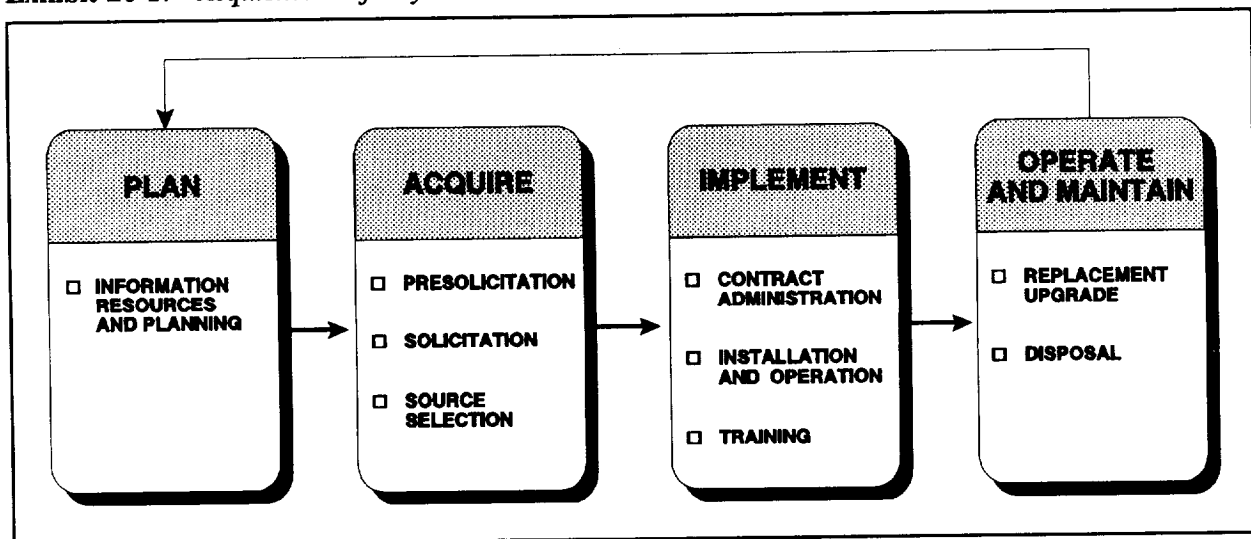
20.000 Scope of Section. This section contains the following:

- discussions of the acquisition process for FIP resources in general;
- definitions of the roles and responsibilities of the principals;
- prescriptions for procedures to acquire FIP resources; and
- explanations on how to secure the requisite procurement authority.

20.001 General. This subsection presents an overview of the acquisition process for FIP resources and a general description of the roles and responsibilities of those involved. Although the focus is on larger FIP resource acquisitions, the general principles are applicable to most acquisitions.

- The acquisition process includes a continuous, cyclic set of activities designed to provide users with reliable, economical, current IT to meet information needs. Specific acquisition-related activities occur at each stage of the acquisition life cycle, as shown in Exhibit 20-1 below.

Exhibit 20-1. *Acquisition Life Cycle*



- As explained in Section 7, Planning, on page 7-1, and Section 18, Planning and Budgeting, on page 18-1, the information resources planning process begins at the Agency level (Administrator and DSO), continues in the Program Offices, and concludes at the Installations with tactical and operational plans that transform strategic Agency, program, and institutional goals and objectives into specific IT requirements, schedules, and budgets. In practice this planning process is not only top-down, but bottom-up and iterative.

Section 20—Acquisition

Specific strategic and tactical planning requirements are prescribed in Sections 7 and 18. Operational plans include the FRDD for program personnel and procurement plans for contracting personnel. These two plans document the specific needs for and the strategy to acquire individual FIP resources. FRDD's are discussed in this section. Acquisition planning, including procurement plans, is discussed in Subpart 7 of the FAR and Subpart 18-7 of the NFS.

- The lead time required to determine budgetary requirements for FIP resources is *at least 2 years*, and Agency staff should plan accordingly. The call for budget estimates arrives approximately 18 months before the fiscal year for which the budget is being formulated. At this point, users must have identified the general requirements that will be met in the fiscal year being budgeted, the most advantageous alternatives for meeting those requirements, and an estimate of its costs.
- The Sponsoring (requiring) Office at the Installation, specifically the originator, is usually responsible for defining IT needs, justifying the budget request, and completing the program-related documentation to support the acquisition. The originator will conduct all presolicitation analyses and trade-off studies. The originator is responsible for preparing a complete procurement request package. In doing so, the originator prepares the specification or statement of work and the in-house cost estimate. When required for a complete procurement request package, the originator is also responsible for preparing the technical evaluation or mission suitability plan and attendant evaluation instructions, as well as a work breakdown structure. The contents of the complete procurement request package vary with the specific acquisition circumstances. The local Procurement Office and the local IRM organization are prepared to assist the originator.
- The acquisition of FIP resources is a shared responsibility of the originator, the Procurement Office, and the IRM organization. A mutually supportive professional teamwork relationship should be established. Therefore, the originator should advise the Procurement Office and the IRM organization of the intended acquisition as early in the acquisition process as practicable. This facilitates the following:
 - clarifying the roles, responsibilities, and work required of each organization;
 - understanding and committing to the critical mission objectives and to the strategies and schedules to accomplish them;
 - identifying, understanding, and prioritizing competing interests that may complicate the acquisition; and
 - resolving (or establishing the processes to resolve) issues, problems, or impediments relative to the acquisition.
- Early in the acquisition phase, the originator should have the local Procurement Office schedule and perform the following presolicitation tasks:

- determining the need for procurement authority; and
- preparing a procurement plan or equivalent (for example, ASM), if required.
- Large, complex acquisitions usually require the establishment of formal procedures to evaluate each offeror's technical and cost proposals. These procedures are established prior to release of the solicitation. In NASA, a Source Evaluation Board (SEB), composed of representatives of the Sponsoring Office, Procurement Office, and other appropriate organizations, evaluates the offers for this type of acquisition. NFS 18-15.613-71 (a) (1) makes use of SEB procedures optional for acquiring FIP resources. See NHB 5103.6B, *Source Evaluation Board Handbook*; see also the *Streamline Acquisition Handbook* on techniques to improve the acquisition process.
- The CO is responsible for administering a contract for its duration. The CO's duties are defined in FAR 42.302. Typically, the CO shares those duties, and thus the responsibility to administer the contract, with the Contracting Officer's Technical Representative (COTR) and other personnel, such as the contract administrators from the Defense Contract Administration Services Management Office (DCASMO). However, the CO remains accountable for ensuring that all contracts under his or her authority that are subject to the FIRMR comply with the delegated procurement authority.
- Post-implementation reviews and ongoing assessments of system performance provide input to an Installation's information resources planning. This is a mutual responsibility of the originator and the IRM organization. Information must be provided to planners on a routine basis so that FIP system enhancements and replacements can be budgeted and accomplished expeditiously.
- Some roles, responsibilities, and authorities for FIP resource acquisitions are specified by regulation. Others vary from acquisition to acquisition. An acquisition team, as alluded to above, with responsibilities for a specific acquisition, should be established early in the acquisition process. The acquisition team should consist of representatives from the 3 key organizations: the Sponsoring Office (originator), the Procurement Office, and the IRM organization. This team is responsible for ensuring that the acquisition process does the following:
 - successfully meets the Agency's needs;
 - remains on schedule and within budget; and
 - satisfies all legal and regulatory requirements.
- The roles of these 3 organizations in the acquisition process are shown in Exhibit 20-2 on page 20-4.
- As stated previously, teamwork is an important (if not critical) factor in any successful acquisition. Although team members have specific task assignments, the successful completion of all aspects of an acquisition requires a significant amount of cross-function activity. A delineation of the responsibilities of each team member at the Installation follows.

Exhibit 20-2. Involvement in the Acquisition Process

Phase	Sponsoring Office	Procurement Office	IRM Organization
Planning	Develops IRM long- and short-term strategic and tactical plans	Develops Master Buy Plan Submission	Provides assistance to sponsoring office and approves IRM long- and short-term strategic and tactical plans.
Presolicitation	<ul style="list-style-type: none"> • Conducts and documents presolicitation studies • Conducts market research • Develops FRDD • Prepares procurement requests • Prepares justifications (such as JOFOC's) 	<ul style="list-style-type: none"> • Develops procurement plan or ASM • Determines FIRM/R applicability • Obtains procurement authority (that is, prepares and transmits APR's) • Assists the Sponsoring Office with and secures approval for JOFOC's 	<ul style="list-style-type: none"> • Reviews and locally approves FRDD's (FRDD's requiring HQS approval will be reviewed and transmitted to HQS by the IRM organization) • Concurs with APR's
Solicitation	Prepares Program-related portions of solicitations	Develops and issues solicitations	Provides technical input (optional)
Source Selection	<ul style="list-style-type: none"> • In concert with Procurement Office, develops source evaluation criteria • Assists in evaluation proposals and bids 	<ul style="list-style-type: none"> • Manages solicitation and evaluation (if no SEB) • Determines successful offers* • Negotiates and awards contracts 	Serves on Technical Evaluation Board (optional)
Contract Administration	Performs COTR responsibilities, including final acceptance	<ul style="list-style-type: none"> • Administers contracts • Appoints COTR • Monitors compliance with DPA 	Performs COTR Responsibilities (optional)

* This may be the CO or PO, but may also be the Director of the Installation or AA of the Program Office. The Procurement Office typically makes the recommendation as to the Source Selection Official, and usually has the concurrence of the Sponsoring Office.

- **Originator (Sponsoring Office).** The originator represents the sponsoring organization and is responsible for ensuring that the organization's long- and short-term needs are met through the acquisition process. Initially, the originator may be involved in the strategic planning that leads to the initiation of specific programs or projects. If the planned program includes contracting for FIP resources, the originator will perform the following duties:

- ▶ conduct all presolicitation studies and prepare all documentation requirements called for by the FIRM/R, *excluding* the APR;

- ▶ develop the FRDD;
- ▶ conduct market research in a manner designed to ensure the Government meets its needs in the most effective, economical, and timely manner;
- ▶ prepare procurement requests to transmit FIP resource acquisition requirements to the cognizant Procurement Office;
- ▶ with the assistance of the CO, prepare documentation (for example, software conversion studies) to support requirements that limit competition, if appropriate;
- ▶ with the assistance of the CO, prepare justifications to approve the use of specifications or procurement methods that limit competition, such as compatibility-limited requirements or requirements for specific make and model or only one responsible source;
- ▶ prepare program-related portions of the solicitation document;
- ▶ with the assistance of the CO, develop mission suitability and other source evaluation factors and criteria;
- ▶ assist in evaluating proposals and bids, including serving on technical and other evaluation panels; and
- ▶ in conjunction with the CO, ensure that contract requirements meet program goals.

— NOTE —

Market research is defined as surveying the marketplace to identify potential sources to satisfy the government's requirements. There is an array of market research and survey approaches. For example, market research may consist of reviewing published catalogs for standard commercial items or reviewing technical publications, technical libraries, lists of previous offerors for similar items or services, and GSA schedules. It may also involve surveying the marketplace through written or telephone contacts with knowledgeable Federal and non-Federal experts. A market survey may also involve soliciting potential sources and insight into their capabilities through a sources sought announcement in technical or scientific journals or a synopsis in the Commerce Business Daily (CBD). Should the CBD approach be adopted, the originator should coordinate the issuance of a CBD notice with the cognizant procurement office. During the postcommitment phase (that is, after a procurement package has been delivered to the procurement office), procurement can also help the originator gain insight into market capabilities by issuing a draft solicitation for information or planning purposes.

- *SIIO (IRM Organization)*. The SIIO or a designee in the IRM organization provides advice to the originator and the CO throughout the acquisition process. As the acquisition dictates, the SIIO or a designee may be called upon or have the following responsibilities to
 - ▶ make a final decision on FIRMR applicability;
 - ▶ review and either concur with or approve the FRDD and associated enclosures and attachments, as authorized (and submit same to HQS, if required);
 - ▶ review restrictive requirements;

- ▶ formally concur on APR's; and
- ▶ participate in ensuring compliance with DPA's.

IRM personnel may perform other tasks in support of program or contracting activities as authorized by the originator or the CO, consistent with available resources.

- *CO (Procurement Office)*. In accordance with FAR Subpart 1.6, authority and responsibility to contract for supplies and services is vested in the head of an agency. Agency heads, in turn, delegate to PO's (and, in turn, to CO's) the authority to enter into, administer, and terminate contracts and make related determinations and findings. An agency head or designee issues CWA's to CO's stating the limits of their authority.

However, the authority and responsibility to contract for FIP resources subject to the FIRMR are exclusively vested in GSA. GSA authorizes agencies to solicit and contract for FIP resources by granting DPA's to the DSO. (See Section 2, Designated Senior Official, on page 2-1.) In NASA, the DSO redelegates this authority and responsibility to the PO (except on Trail Boss acquisitions) who, in turn, delegates this authority to a CO who fulfills his or her intended role under direction provided in the FIRMR, FAR, NFS, and this NHB.

The statutory and regulatory framework within which acquisitions take place provides CO's the opportunity to exercise business judgment in the selection of a contract awardee. The sponsoring office and the IRM organization state the requirement, and the manner in which offers will be evaluated, in ways that give a CO or other Source Selection Official (SSO) the ability to select the offer that is the most advantageous to the Government.

Only the CO has the authority to enter into, administer, or terminate contracts for the Government and make related determinations and findings. In conjunction with this authority, the CO has the responsibility for a variety of pre- and postsolicitation activities to ensure that NASA enters into equitable transactions with contractors. The CO may (and typically does) delegate some of these responsibilities. The CO will perform the following activities:

- ▶ prepare procurement plans or ASM's;
- ▶ help the originator develop JOFOC's, and secure approval;
- ▶ determine FIRMR applicability and ensure that the appropriate procurement authority is obtained;
- ▶ prepare and transmit APR's, if required;
- ▶ develop and issue solicitations;
- ▶ manage the solicitation and evaluation process (if there is no SEB);
- ▶ determine the successful offeror if an SSO is not designated;

- ▶ negotiate and award contracts for the Government; and
 - ▶ administer contracts with the assistance of COTR's.
- *Contracting Officer's Technical Representative (COTR)*. Since the CO often has several contracts to administer concurrently, the CO can designate a representative of the Sponsoring Office as a COTR and authorize that person to perform certain functions on behalf of the CO. The COTR's identity and duties are specified in the COTR delegation letter (NASA Form 1634). (See also NFS 18-42.270.) COTR responsibilities are not redelegatable; however, the CO may designate an alternate COTR to act during short absences of the COTR. The policies and procedures applying to the COTR also apply to alternate COTR's. Typically, the COTR does the following:
- ▶ monitors the contractor's technical, schedule, and cost performance against the contract specifications;
 - ▶ ensures that funding is provided to the contractor, through the CO, on a timely basis;
 - ▶ schedules any Government activities required by the contract;
 - ▶ performs formal acceptance of contract deliverables for the Government;
 - ▶ serves as a technical liaison between the Government and the contractor; and
 - ▶ determines whether contract deliverables meet technical contract specifications.
- Most of the FIP resources that NASA acquires are acquired by contractors. Perhaps as much as 50 percent of NASA's FIP resources are acquired through contractor acquisitions (that is, subcontracts). In some cases, FIP resources are acquired by the contractor for NASA's benefit (for example, the design, development, and delivery of a FIP system to be used by NASA personnel). In other cases, FIP resources are acquired by contractors for their benefit—for example, FIP systems acquired by a contractor for designing and developing a spacecraft, such as a computer-aided design (CAD) system. The applicability of the FIRMR to NASA acquisitions of FIP resources is discussed in FIRMR Part 201-1, FIRMR Bulletin A-1, and Section 1, Applicability and Authority, on page 1-1 of this NHB.

Roles and responsibilities of the originator and CO in contractor acquisitions of FIP resources are briefly discussed below.

- *Originator*. The originator is responsible for recommending whether FIP resources subject to the FIRMR and to be acquired by the contractor should be severed from the requirements for non-FIP resources. See FIRMR 201-20.305(b)(3). However, the decision to sever is the responsibility of the CO. The originator is responsible for minimizing requirements that unduly restrict the contractor's ability to acquire FIP resources. See FIRMR 201-1.002(b)(2)(ii).
- *Contracting Officer (CO)*. There must be adequate procurement authority in the prime contract to permit contractors to conduct subcontract acquisitions of FIP resources. The CO is

responsible for ensuring that the requisite procurement authority has been obtained prior to NASA entering into its prime contract.

If it was not possible to obtain the necessary procurement authority prior to releasing a solicitation or awarding a prime contract (for example, the anticipated value of the solicitation was within the Installation's delegated procurement authority but the successful offer exceeds that authority; a task order to be placed on the contract requires the delivery of FIP resources not contemplated at the time of award and not authorized by the DPA; or a within-scope change pursuant to a contract term or condition involves the increase of FIP resources in excess of the DPA), the CO is responsible for ensuring that the requisite procurement authority is obtained by NASA before the contractor is authorized (for example, by issuing a unilateral change) to incur any costs or to solicit and award subcontracts.

Where there is insufficient or no delegated authority, the CO, with the support of the originator, shall ensure that NASA (or the contractor, if specified in the contract) conducts the requisite analyses, develops the FRDD, and submits an APR. Remember though, only NASA can submit an APR; and NASA, not the contractor, receives a DPA.

When applicable, the CO shall review contractor requests for consent to award subcontracts. At this time, CO's should verify that NASA has the requisite procurement authority for the contractor to place the subcontract. Additionally, CO's should ensure that the contractor conducted full and open competition for the FIP resources or that the absence of competition was properly justified in writing. Finally, CO's shall ensure that all prime contracts are executed in strict compliance with all terms and conditions of their DPA.

20.002 **FIP Resources Decision Document (FRDD) [no comparable FIRM subpart]**. This subsection describes the acquisition-specific analyses and planning that must be performed prior to acquiring specific FIP resources subject to the FIRM. This subsection also describes how to prepare a FRDD (see Exhibit 20-3 on page 20-9).

As discussed earlier, the goal of planning at this level is to ensure that both the technical and business considerations are *integrated* into a unified strategy that best meets the Agency's interests. The documents that accomplish or facilitate this are the FRDD, the procurement plan or ASM, and the APR.

- These documents ensure that—
 - proper life-cycle planning for the acquisition has taken place, and consideration has been given to the strategic and tactical IRM opportunities offered by this acquisition;
 - the requirements supporting the acquisition—
 - ▶ are demonstrable, properly sized, and derive from and are traceable (directly or indirectly) to Agency, program, and Installation plans;

Exhibit 20-3. Preparing a FIP Resources Decision Document (FRDD)

- | |
|---|
| <p>1. Executive Summary. An executive summary describes the purpose and size (total potential dollar value in terms of both FIP and non-FIP resources) of the acquisition through the system life, the Agency mission(s), program(s), or other initiative(s) supported by the requirement, a brief description of the major categories of FIP resources being acquired (equipment, software, services, support services, and related supplies), the alternative selected to support the requirement, and a top-level acquisition and implementation schedule. For a comprehensive FRDD, this section should not exceed 3 typewritten pages and 1 schedule chart.</p> |
| <p>2. Requirements Analysis. The content of the requirements analysis is described in FIRMR 201-20.1 and in Section 20.1 on page 20-13. For a comprehensive FRDD, the requirements analysis should not exceed 10 typewritten pages.</p> |
| <p>3. Analysis of Alternatives. The content of the analysis of alternatives is described in FIRMR 201-20.2 and in Section 20.2 on page 20-16. For a comprehensive FRDD, the analysis of alternatives should not exceed 10 typewritten pages, excluding conversion studies (FIRMR 201-20.203-4).</p> |
| <p>4. Implementation Plan. The content of the implementation plan is described in FIRMR 201-20.3 and in Section 20.3 on page 20-22. For a comprehensive FRDD, the implementation plan should not exceed 3 typewritten pages, 3 tables (life-cycle costs, resources, standards), and 2 schedule charts (one for the acquisition, the other for contract performance).</p> |

- ▶ have been independently reviewed and validated for the applications to be supported; and
- ▶ have been considered in budget projections;
- all significant factors affecting the acquisition have been identified, assessed, and balanced in reaching decisions;
- the decisions concerning the acquisition are well founded in sound technical and fiscal judgment; and
- appropriate oversight of the acquisition has been exercised by line and functional management.
- The recommended sequence for developing and obtaining approval of these documents is—
 - FRDD and supporting trade studies and analyses;
 - procurement plan or ASM, if required; and
 - APR, if required.

— NOTE —

While these documents will probably be developed and approved at different times, either these documents must be consistent in their principal terms or the inconsistencies among them must be reconciled.

Section 20—Acquisition

Other documentation such as JOFOC's; requests to deviate from the FAR, NFS, FIRMR, and this NHB; and FIP waiver requests, should be developed in time to best support the decisions being documented above. For example, if the FRDD identifies FIP resources requirements that cannot be met but by a single source, the JOFOC should be developed and approved concurrently with the FRDD and be referenced in the FRDD.

In support of the above, the FRDD documents the following:

- the analysis of requirements (FIRMR 201-20.1) that determines the FIP resource requirements;
- the analysis of alternatives (FIRMR 201-20.2) to satisfy those FIP resource requirements and the rationale for selecting the most advantageous alternative; and
- the plan to implement (FIRMR 201-20.3) the most advantageous alternative.

Adherence to the requirements of this subsection and Sections 20.1, 20.2, and 20.3 (pages 20–13, 20–16, and 20–22, respectively) should be seen as aiding NASA's mission by ensuring that the requisite level of IRM analyses and planning is accomplished before each critical decision point in the acquisition cycle for FIP resources. These requirements identify trade-off and other studies and analyses designed to focus attention on the critical factors affecting the success of this type of acquisition. The results of these studies and analyses are documented in the FRDD. Failure to give the requisite credence to these requirements or to exploit their results will ultimately result in suboptimizing Agency, program, and Installation interests.

The following are the procedures for FRDD preparation and approval:

- A FRDD shall be prepared for all acquisitions subject to the FIRMR and exceeding \$50,000 of FIP resources for the acquisition, without exception, commensurate with the size and complexity of the acquisition. However, a FIRMR requirement exists for a requirements analysis and cost/benefit analysis (FIRMR 201-20.203-2(b)) for acquisitions below this level. Installations shall institute local implementation to assure compliance commensurate with the value of the acquisition. The breadth and depth of analysis should be based on technical, schedule, budget, and other risk factors. Prudence demands that as these risks escalate, more analysis is required to scope, identify, and mitigate these risks. Do the least analysis commensurate with sound engineering, business, and administrative practices.

Typically, on major FIP system acquisitions (and quite often on other acquisitions) a considerable amount of definitional (that is, Phase A) and preliminary design (that is, Phase B) work has already been completed by the time an APR is sought. Phase A and B study results should be used, where appropriate, in lieu of the analyses discussed

— NOTE —

In developing the FRDD or other documents to be released outside the Agency (such as the APR for GSA), acronyms should be used sparingly; if they are used, they must be defined. If Phase A or B study results are used, a glossary should be provided for NASA-unique terminology and acronyms.

below. Mission, system, and operational requirements, reference architectures and cost models, program approval documents (PAD's), program operating plans (POP's), budget justifications (where alternatives are discussed), and so on, can be substituted, where appropriate, for the specific analyses prescribed below. These products may be referenced and briefly summarized if they are too voluminous to be included in the FRDD. Use of meeting minutes, slide presentations, and so on, is also acceptable, if the requisite degree of clarity and completeness is evident. ***Substance is more important than form!***

- This NHB delegates to the SIO's the authority to implement local procedures to document the requirements for acquiring FIP resources equal to or less than \$50,000 in total value (see note on page 20-13). The FRDD for all acquisitions greater than \$50,000 and for which a specific DPA is not required shall conform to NASA Form 1647 and its instructions (see Enclosure C-2) and not exceed 7 typewritten pages, excluding any required attachments. Electronic replication of NASA Form 1647 is authorized; however, the FRDD produced thereby should not exceed 7 pages, excluding attachments. SIO's may authorize the overprinting of NASA Form 1647 and the tailoring of its instructions to local conditions. Acquisitions exceeding these parameters will undergo comprehensive analyses and planning and be documented in accordance with the FIRMR and this NHB (see Exhibit 20-3 on page 20-8).

Code JT is instituting a pilot program to test the effectiveness of NASA Form 1647 for higher-dollar value acquisitions. This NHB delegates to the SIO's the authority to authorize the use of this form as described below.

At the SIO's option, NASA Form 1647 may be used in lieu of a comprehensive FRDD for acquisitions of:

- FIP services, support services, or related supplies, or any combination of these 3 FIP resources; and
- FIP systems, when the value of either the FIP equipment or software does not exceed the Agency's specific DPA thresholds, although other FIP resources do and, therefore, require a specific acquisition DPA.

NASA Form 1647 may not be used in lieu of a comprehensive FRDD whenever the value of the FIP equipment or software exceeds the Agency's specific DPA thresholds.

Assume the cases shown in Exhibit 20-4 on page 20-12 represent acquisitions conducted under full and open competitive procedures. Each is acquiring FIP resources in excess of the Agency's specific DPA threshold, and a specific acquisition DPA must be sought from GSA. (In Case 1, the FIP support services exceed the threshold; in Case 2, the same situation; and in Case 3, the FIP equipment and support services both exceed the threshold.) Accordingly a comprehensive FRDD should be prepared covering all the resources to be acquired. NASA Form 1647 may be used in lieu of preparing a comprehensive FRDD in Cases 1 and 2, but not 3. In Case 2, neither the value of the FIP equipment nor software exceeds NASA's specific Agency LPA threshold. In Case 3, the value of the FIP equipment exceeds NASA's specific Agency DPA threshold. In Case

Exhibit 20-4. 3 Sample Cases of FIP Acquisitions

	CASE 1	CASE 2	CASE 3
FIP Equipment	0	1,500,000	2,500,000
FIP Software	0	1,000,000	1,000,000
FIP Services	100, 000	500,000	400,000
FIP Support Services	2,500,000	5,000,000	10,000,000
FIP-Related Supplies	50,000	100,000	25,000

2, if the requirements for the FIP software are for specific make and model software, NASA Form 1647 could not be used. The requirement is restrictive and exceeds NASA's specific Agency DPA threshold for other than full and open acquisitions.

- SIO's may want to consider appointing an "expert" point of contact to assist those responsible for developing FRDD's and related documents and to review the documentation before it is submitted for coordination and approval. This has been demonstrated to be an effective technique to improve the quality of the documentation.
- FRDD's will be reviewed and locally approved (if the acquisition is within the Installation's delegated procurement authority) or reviewed, concurred in, and transmitted to HQS for approval (if the acquisition exceeds the Installation's delegated procurement authority), as appropriate, in accordance with established Installation procedures. Installation-level concurrences should be commensurate with the nature, complexity, and potential dollar value of the resultant acquisition(s). FRDD's shall be submitted to the cognizant SPIO for approval over the signature of the SIO or designee, if the Installation requires delegated procurement authority to conduct the acquisition(s) covered by the FRDD. The SPIO (for HQS acquisitions this is the SIO in Code J) will obtain concurrence on all such FRDD's. The procedures in Enclosure C-3 on page C3-1 shall be followed.
- At a minimum, all FRDD's (form-based or comprehensive) will be generally structured as follows, addressing the requirements of FIRMR 201-20.1, 20.2, and 20.3, commensurate with the nature, complexity, and dollar value of the acquisition. Approved FRDD's (or copies) will be filed in the permanent contract file. If a FRDD supports more than one acquisition (for example, a solicitation with the potential for multiple awards), a copy of the FRDD must be filed in each permanent contract file.

It is not the intent of these instructions to impose greater requirements than the FIRMR, but merely to clarify the requirements of the FIRMR. Therefore, in the case of any discrepancies between these instructions, the FIRMR, its Bulletins, and other GSA guidance, the FIRMR applies.

Sections 20.1, 20.2, and 20.3 below clarify FIRMR requirements with regard to conducting requirements analyses and analyses of alternatives and developing an implementation plan. This discussion is oriented toward a comprehensive FRDD. The *essence* of these requirements, though, must be captured in all FRDD's. See also Subsection 39.1708 on page 39–21 for additional guidance on applying these requirements to acquisitions with extensive future subcontracting of FIP resources.

— NOTE —

The following formats are intended to allow for all different types of FIP resources; however, it is expected that the following will be tailored to the specific types of FIP resources being acquired and the circumstances of the acquisition, without the need for addressing all items.

20.1 REQUIREMENTS ANALYSIS

20.100 Scope of Section. This section prescribes policies and procedures for determining and documenting NASA requirements for FIP resources.

20.101 General. A requirements analysis based on mission needs and described in functional terms is necessary to support any acquisition of FIP resources subject to the FIRMR. A requirements analysis is necessary for each category of resources (for example, equipment, software, services, support services, or related supplies) being acquired. A requirements analysis may be based on acquiring a FIP system rather than on each individual category of FIP resources.

— NOTE —

All acquisitions must be based on documented requirements. This is a requirement of the FAR. Accordingly, while a FRDD is not required for acquisitions equal to or less than \$50,000, a requirements analysis is required. The SIO, in cooperation with the PO, shall establish procedures to address the need for acquisitions of FIP resources less than or equal to \$50,000. This documentation should not exceed 1 typewritten page.

20.102 Policy [reserved].

20.103 Procedures. All requirements analyses (form-based or comprehensive) will be generally structured as follows, addressing the requirements of FIRMR 201-20.1. For assistance in conducting this analysis, see also GSA's *A Guide For Requirements Analysis and Alternatives Analysis*.

20.103-1 Information Needs. Information needs should be traceable to an IRM strategic plan and organization- or function-based information analysis, information architecture, or an acquisition-specific information analysis. Attention should be focused on identifying and quantifying the critical, high-intensity information requirements for all major applications to be supported. For FIP support services, a statement describing the mission of the organization to be supported and a discussion of the role of the acquisition in supporting that mission can be used, together with a description of the required support service tasks—for example, system engineering and integration (SE&I) or safety, reliability, maintainability, and quality assurance (SRM&QA)—related back to the mission statement.

20.103-2 Systems Life. The determination of systems life should consider all planned augmentations and upgrades during the life of the initial FIP resources to be acquired. For support services, systems life is the required performance period of the contract, including all options.

20.103-3 Description of Requirements. As part of the description of requirements, include the major applications or tasks to be supported or performed that address the information needs or mission needs statement. The term “application” is used to mean the function, process, or activity that is being automated (for example, payroll, flight simulation, and structural analysis). The term “task” is used to mean discrete support service activities (for example, hardware maintenance, operating system support, systems analysis, and programming). Identify here existing FIP resources, their capacity and capability, and the proposed FIP resources, their capacity and capability, including all reserves or contingency capacity or capability, and relate these new requirements directly back to the major applications and tasks to be supported. For commodity-like FIP resources—that is, microcomputers, engineering workstations, mainframes, commercial off-the-shelf (COTS) software—the Installation IRM organization, on behalf of the originator, should contact the SPIO and Code JT to determine whether these are consolidation opportunities. The scope and results of these inquiries should be discussed in the description of requirements.

Finally, there shall be an analysis that indicates that the requirements do not require the delivery of outdated FIP equipment. If not, a waiver must be sought from the DSO. A waiver request for outdated equipment shall be processed concurrently with the FRDD.

20.103-4 Compatibility-Limited Requirements. Any time you intend to restrict requirements for compatibility because of the value of an existing investment in equipment, software, or data, you must support that future requirement by the results of a conversion study. All compatibility-limited requirements must be justified in writing and cite FIRMR 201-20.103-4 (b) (1) or (b) (2) as authority. A conversion study, performed in accordance with FIRMR Bulletin C-14, may suffice to justify the use of compatibility-limited resources required so long as the conversion study explicitly supports the authority cited and the following is demonstrated by the study. In this case, this section should reference the conversion study and cite the authority used.

If you cite FIRMR 201-20.103-4 (b) (1), the study must also demonstrate that—

- it is less expensive to acquire compatibility-limited FIP resources than the alternative; and
- the potential advantages of migrating to a less proprietary operating environment do not offset the cost to convert.

If you cite FIRMR 201-20.103-4 (b) (2), the study must also demonstrate that—

- there is insufficient time or resources to accomplish the conversion and still accomplish the mission; and
- improper planning did not contribute to the conclusion.

A conversion study is not to be considered part of the page limitations for form-based or comprehensive FRDD's.

If a conversion study is not required, use this section to justify compatibility-limited requirements, based on the appropriate authority.

20.103-5 Justification for [Sole Source and] Specific Make and Model. (See Subsection 39.44 on page 39–25 for restricted acquisitions conducted by contractors.) Justifications supporting specific make and model, single source, or other restrictions to full and open competitive requirements cited in FAR 6.300 for acquisitions conducted by NASA will be approved in accordance with the FAR and NFS. Concurrent processing with the FRDD is strongly encouraged. The formal justification is an enclosure to the APR. In this section, either provide the technical rationale for the JOFOC, or if a JOFOC has been prepared and approved, reference it. Also, discuss here any requirements for restrictions based on new requirements. See FIRMR Bulletin C-29 on preference for used equipment.

Relative to 20.103-4 and 20.103-5, you should always structure requirements to minimize restrictive specifications to the extent practicable. Only consider other than full and open competitive procedures when a strong rationale exists that is fully justified. GSA, in particular, can be expected to question seriously all restrictive specifications and to probe NASA's plans to convert to more competitive and less proprietary or unrestrictive IRM environments. If restrictive requirements dictate selection by a specific make and model, third-party sources must always be considered, if available.

Additionally, on sole-source extensions to existing contracts pending completion of a recompetition, GSA routinely requests a copy of the Recompensation Plan for the follow-on acquisition. Although the FIRMR does not explicitly require this as a condition to obtaining a DPA, it is recommended such a plan be developed (and included with the JOFOC) for these types of acquisitions. At a minimum the plan should include a discussion of the follow-on requirement (and how it may differ from the existing contract), what presolicitation work needs to be done, the team responsible for conducting the recompetition, identifying key players and their respective roles and responsibilities, and a schedule chart of all key milestones leading to the award of contract.

20.103-6 Security Requirements. Consider security requirements in accordance with NHB 2410.9, the *Automated Information Security Handbook*, as well as any IPO and Installation handbooks, as appropriate. See also FIRMR Bulletins C-19, C-20, C-23, and C-28.

20.103-7 Accessibility Requirements for Individuals with Disabilities. Include a brief discussion of both information and telecommunications accessibility requirements for the disabled for the subject acquisition. If there are none, so state, and briefly explain the reason(s) why there are none. See FIRMR Bulletins C-8 and C-10 for further guidance.

GSA's *Managing End User Computing for Users with Disabilities*, published by the Clearinghouse on Computer Accommodation (COCA) of GSA's Information Resources Management Service, provides guidance to those unfamiliar with the application of computer and related information technology to accommodate users with disabilities and provide for their access to FIP resources.

20.103-8 Space and Environment Requirements. Document the space and environment requirements. These requirements are usually funded by Construction of Facilities (CoF), and these requirements should be coordinated with facilities personnel at the Installation, in the IPO, and in the Office of Management Systems and Facilities (Code JX), as appropriate, to assure their timely availability.

20.103-9 Workload and Related Requirements. Quantify each element of workload and related requirements listed in FIRMR 201-20.103-9 (a) and relate it to the applications or tasks identified in Subsection 20.103-3. Include a written description and graphic depiction that quantifies, as a function of time, the current and projected requirements (including labor for support services and reserve capacity) over the system life. Critical capacity and workload, projected by application or task, over the system's life, shall also be quantified and graphically related. Expandability requirements, including options, should be graphically depicted showing planned increments of major expansion over system life. For support services, quantify manpower requirements for each task.

20.103-10 Records Management Requirements. See NHB 1440.6.

20.2 ANALYSIS OF ALTERNATIVES

20.200 Scope of Section. This section prescribes policies and procedures for identifying, analyzing, and documenting feasible alternatives that satisfy requirements for FIP resources.

20.201 General. An analysis of alternatives is required to support any acquisition of FIP resources conducted under the authority of the FIRMR. For acquisitions equal to or less than \$50,000, this requirement is satisfied by a cost/benefit analysis. An analysis of alternatives is necessary for each category of FIP resources (for example, FIP equipment, software, services, support services, or related supplies) being acquired. An analysis of alternatives may be based on acquiring a FIP system rather than on each category of FIP resources.

The purpose of the analysis of alternatives is to ensure that the Agency selects the most advantageous alternative. The analysis must include cost and noncost factors for each feasible alternative.

20.202 Policy [reserved].

20.203 Procedures. Analyses of alternatives (form-based or comprehensive) should generally be structured as follows, addressing the requirements of FIRMR 201-20.2. For assistance in conducting this analysis, see also GSA's *A Guide For Requirements Analysis and Alternatives Analysis*.

20.203-1 Consideration of Alternatives.

- a. **Assessment of Market's Ability to Satisfy Requirements.** A brief summary of the results of the market survey conducted to determine the dependence on and availability of technology to support the requirements should include the following:

1. a list of entities that can provide the requisite technologies and capabilities;

2. a time-phased assessment of the probable availability of technology to support the requirements; and
 3. a certification that outdated FIP equipment is not required to satisfy the requirement. An alternative finding requires a waiver from the DSO to acquire outdated FIP resources.
- b. **Alternatives.** Consider at least the following alternatives in any analysis. Only the feasible alternatives need be analyzed and documented. A feasible alternative is one that is viable and realistic.
1. Using GSA Mandatory Programs or Contracts.
 - (a) GSA Mandatory-for-Use Programs (see FIRMR 201-24.1 and FIRMR Bulletins C-15, C-18, and C-21):
 - (1) FTS2000;
 - (2) Consolidated Local Telecommunications;
 - (3) Purchase of Telephones and Services;
 - (4) National Security and Emergency Preparedness; and
 - (5) Financial Management Systems Software.
 - (b) GSA Mandatory-for-Consideration Programs (see FIRMR 201-24.2 and FIRMR Bulletins C-21 and C-24):
 - (1) Federal Software Exchange (FSE) Program;
 - (2) Excess FIP Equipment Program;
 - (3) Federal Secure Telephone Service;
 - (4) Communications Security; and
 - (5) NASA and Other Agency Programs and Contracts, for example, NASA's Computer Software Management and Information Center (COSMIC), including consolidated requirements contracts.
 2. Using Nonmandatory GSA Programs and Assistance (see FIRMR Bulletin C-9).
 - (a) GSA Office of Technology Assistance, including FEDSIM.
 - (b) GSA Schedule Contracts.
 - (c) GSA Regional Contract Services.
 - (d) GSA Technical Assistance Program.
 3. Reconfiguring, reusing, or shifting existing FIP resources (see FIRMR Bulletins C-1 and C-27).
 4. Sharing (see FIRMR Bulletin C-11).
 - (a) Sharing Local Telecommunications Resources.

(b) Sharing Data Processing Capacity.

5. Contracting for New or Additional Resources.

(a) Acquiring FIP equipment and software versus acquiring FIP services.

(b) Acquiring FIP resources directly through NASA or indirectly through a contractor.

For example, having a systems integration contractor acquire FIP resources that the system integration contractor will integrate into a FIP system to be delivered to NASA as opposed to NASA acquiring the FIP resources and providing the FIP resources to the system integration contractor as Government-furnished property.

(c) Acquisition and Payment Method Considerations.

Acquisition Method. State in this section whether the requirements will be satisfied through full and open competition or other than full and open competition. A JOFOC is required to be prepared and approved in accordance with the FAR and NFS if the requirements will be satisfied through other than full and open competition.

A requirement that will be competed and awarded to a prime contractor using full and open competitive procedures, but which can only be satisfied (at the subcontract level) by one source or product is restrictive for purposes of this subsection if it could have been reasonably anticipated at the time the prime contract was solicited. (Accordingly, a JOFOC would also have been required.) However, if the restrictive nature of the requirement was not known or if the prime contractor decides to satisfy the terms of the contract using restrictive specifications or other than full and open competitive procedures, these actions of the prime contractor do not constitute a “noncompetitive” acquisition method for the purposes of this subsection. Approval of these “noncompetitive” subcontracts will prescribe to FIRMR 201-39.44 and Section 39.44 on page 39-25 of this NHB.

Care should be taken to avoid directing sources. Government-directed sourcing compromises the independent contractor relationship and can result in transforming a prime contractor into a Government agent. NASA personnel will avoid even the appearance of directing or approving contractor sources or subcontracts.

Payment Method. Frequently, FIP resources may be acquired through a variety of payment methods. Depending on the type of resource, these methods include purchase, various leasing arrangements, one-time license fees, or annual license fees. One of the prime factors influencing the selection of the most

— NOTE —

If a lease, lease to ownership plan, or lease with purchase option is employed, consideration should be given to making provision in the contract to acquire first refusal rights and purchase option credits accrued by the contractor.

advantageous payment method is the system life determined as part of the requirements analysis (see Subsection 20.103-2 on page 20-14). Based on this system life and other factors, the CO may require only certain payment methods in solicitations, may allow alternate payment methods, or may establish constraints to limit the range of payment methods to be considered. Use this section to discuss any special considerations limiting this determination, such as the need to modify delivered items or the need to stay within limited near-term available funds. If these factors are expected to result in the selection of other than the lowest cost option, provide computations to estimate the potential cost penalty. Do not use this section if there are no special considerations.

6. Developing Resources In-house.

20.203-2 Cost of Each Alternative. Subject to the following paragraph, calculate the total estimated life-cycle cost, using the present value of money, for each feasible alternative, when the value of FIP resources being acquired is greater than \$50,000. The total estimated life-cycle cost for each alternative should include all costs that can be identified for that alternative, whether they occur before, during, or after the system life period.

Not every acquisition benefits from the performance of a total life-cycle cost analysis. For example, the cost of conducting a total life-cycle cost analysis may be disproportionately high (and thus inefficient) for a low dollar-value acquisition or for an acquisition where the value of one or two cost elements far exceeds all other cost elements. Additional elements should be added only when such would significantly impact the analysis. NASA Form 1647, the form-based FRDD, identifies those cost elements that should generally be evaluated. For the comprehensive FRDD, all applicable cost elements will be evaluated. Only evaluate cost elements that vary among the alternatives.

The cost analysis of each alternative should include consideration of both one-time and reoccurring costs, including the costs of the following factors:

- a. **Conversion.** See FIRMR 201.203-4.
- b. **Personnel.** Include the personnel costs, such as salaries, overtime, fringe benefits, training, and travel, associated with each alternative.
- c. **Supplies.** Include such costs as office supplies, data processing materials, and other miscellaneous expenses.
- d. **Energy.** Include costs for electrical requirements such as for processors, peripherals, heating and air conditioning, liquid cooling, and uninterruptible power supplies.
- e. **Maintenance.** Include costs of maintaining the equipment or software associated with each alternative.
- f. **Space.** Include space costs, such as those for site preparation; building purchase, rental, lease, or conversion; security; maintenance and custodial services; and office furniture.

- g. **Costs of Contract Administration.** For alternatives involving contracting, include the clerical and other administrative and professional costs associated with preparing and distributing solicitations and contract documents, evaluating bids and proposals, and negotiating and awarding contracts.
- h. **Estimated Contract Prices.** Include the estimated purchase, lease, or rental costs associated with each alternative. Include costs for contractor services, such as technical and consulting services and data entry support.

20.203-3 [FIRMR reserved].

20.203-4 Conversion. See FIRMR 201-20.203-4 for the necessity and scope of a conversion study. Activities that require such a study shall follow the guidance contained in FIRMR Bulletin C-14. In addition, the conversion study shall quantify by application the number of lines of code in each source language and the number of bytes of data being considered for conversion. The study shall quantify the workyears of effort estimated for conversion and the cost per workyear. The study shall also identify the costs both to convert and not to convert so that a comparison can be made. The study, when applicable, is an enclosure to the analysis of alternatives and is not to be considered part of the page limitation.

20.203-5 Noncost Factors [FIRMR Title “Obsolescence”]. The analysis of noncost factors is just as important as the cost analysis, because noncost factors help ensure that a system will support the Agency mission. The following noncost factors shall be considered.

a. Functional Factors

1. **Obsolescence.** The FIRMR requires that an analysis of alternatives determine appropriate strategies for maintaining current information technologies and avoiding outdated resources over the system life. See also FIRMR Bulletin C-27.

— NOTE —

These noncost factors are not intended to be a separate section in the FRDD. Rather they are to provide ideas as to the types of things to be considered in the analysis or decisions required by 20.203-1 on page 20-16 and 20.203-6 on page 20-22.

2. **Availability.** Evaluate each alternative for the amount of time the system is available to users. The level of importance assigned this element will vary with the type of system. For instance, the need for availability of principal telephone service may differ from that of a teleconferencing system.
3. **Reliability.** Evaluate each alternative for the frequency with which components can be expected to require corrective maintenance. Reliability problems are reflected in disruption of operations.
4. **Maintainability.** Evaluate each alternative for the ease and speed with which failed system components can be repaired. Consider the amount of intervention required by service person-

nel, as well as general availability of service personnel. In addition, for some systems, the need to maintain adequate stocks of supplies, tools, and test equipment must be considered and addressed.

5. *Expandability.* Evaluate each alternative for its ability to expand to meet anticipated growth and for the ease of system growth.
 6. *Flexibility.* Evaluate each alternative for the extent to which it can accommodate changes in the nature of the workload (for example, size of user community, response-time requirements).
 7. *Security.* Evaluate each alternative for its ability to prevent unauthorized access and tampering that could result in harm to the overall interests of the Government. Security includes preventing possible intrusion during physical servicing of any equipment. Also evaluate the system's NSEP implications, if any. The appropriate GSA Field Office can assist in making NSEP-related determinations. See also FIRMR Bulletins C-20 and C-28.
 8. *Privacy.* Evaluate each alternative to ensure that all personnel data or other sensitive information can be maintained and protected from unauthorized access in accordance with an approved system of records. Privacy is distinct from security, which is concerned with safeguarding the interests of the Government as well as the equipment itself. Monitoring and recording of conversations are subject to statutory and regulatory requirements.
 9. *Effect on personnel.* Evaluate each alternative to determine how much it will affect support staff. Determine whether support staff's skills are adequate or need enhancement. If changes are needed, identify specific skills and concomitant salary and training costs. Also, if a system shared with another agency is involved, assess the effects and cost of joint management.
 10. *User acceptance.* Evaluate each alternative for its overall effect on the user community. Identify and assess the amount of change to user procedures. User acceptance differs from effect on personnel in that it only deals with user acceptance of new methods and procedures.
 11. *Accountability.* Evaluate each alternative for its ability to allow system activity to be tracked and measured, and for all users to be held accountable for their use of the system.
- b. **Risk Factors.** Evaluate each alternative for satisfying the requirements in terms of risk to the technical and financial aspects of the program and to its schedule. The analysis should review each of these risks to determine the overall impact of significant variations from the original assumptions on which the expected success of the alternative is based.
1. *Technical risk.* Evaluate each alternative for the probability that it will prove difficult to achieve all or part of the technical objectives because of unforeseen problems, regardless of cost or schedule. Technical risk includes management and user acceptance as well as technical risk. Generally, the alternative that is closest to the status quo and presents the least extension

of the state-of-the-art is the least risky. However, there is also the risk that old technology will cease to meet the systems' requirements at some point during the system life.

2. *Financial risk.* Evaluate each alternative to see how much it is subject to unexpected additional costs and how much contingency should be applied. Also consider the implications of budget shortfall and failure to stay on schedule.
3. *Schedule risks.* Evaluate each alternative to see to what extent it is subject to unexpected delays in meeting the technical objectives of the system, regardless of cost. It is important to consider the location and preparation of specialized space as well as the system life compared to any contractual or other limitation on specialized space. Also consider budgeting and acquisition cycles.

20.203-6 Selection and Description of the Most Advantageous Alternative [no comparable FIRM section]. The end product of the analysis of alternatives is the selection of the alternative most advantageous to the Government and the documentation of the rationale. GSA's *A Guide For Requirements Analysis and Alternatives Analysis* describes quantitative techniques for comparing alternatives to help make this determination. While the alternatives are generally cost-based, the final decision should be the result of balancing all relevant factors, including noncost factors. See FIRM Bulletin C-25 concerning the availability of GSA's Bid Analysis and Reporting System (BARS). BARS is designed to perform present-value analysis.

20.3 IMPLEMENTATION

20.300 Scope of Section. This section prescribes procedures for implementing the most advantageous alternative to acquire FIP resources. It also discusses the requirements of an Implementation Plan and procedures related to standards, the GSA delegation process, and APR's and DPA's.

20.301 General [reserved].

20.302 Implementation Plan. The FRDD shall include a plan to implement the selected alternative. This section of the FRDD shall include a brief synopsis of the key activities and the milestones and resources needed to implement the selected alternative through delivery and acceptance of the FIP resources. At a minimum, all implementation plans (form-based or comprehensive) will generally be structured as follows, addressing the requirements in FIRM Section 201-20.302, unless otherwise indicated.

20.302-1 Key Activities and Milestones (Comprehensive Plans Only) [no comparable FIRM subpart]. Provide a brief summary of the work to be done to acquire and provide the FIP resources. Divide the work into discrete major increments—such as presolicitation, solicitation, evaluation, award, design, development, test and acceptance—as appropriate and provide a schedule chart depicting these major milestones.

20.302-2 Organization, Roles, and Responsibilities [no comparable FIRM subpart]. Identify the key personnel involved with the acquisition. For plans not requiring a specific acquisition DPA, identify at least the sponsoring organization and the approval officials in the sponsoring, procurement, and IRM organizations. For plans requiring a specific acquisition DPA, this information is contained in the APR and need not be repeated here.

20.302-3 Acquisition and Implementation Schedule [no comparable FIRM subpart]. Provide a schedule chart (or equivalent information) depicting the major milestones of the acquisition (leading to a contract). Provide another schedule chart (or equivalent information) depicting the major milestones of the provision of FIP resources (contract performance milestones). At a minimum, the following milestones shall be identified, as appropriate:

- Completion of presolicitation analyses.
- Release of solicitation.
- Receipt of proposals.
- Selection.
- Contract award.
- Preliminary, critical, and final design reviews or other key tasks.
- Major acquisitions and deliveries (all optional quantities, if possible) (principal subcontracts).
- Preparation of facilities or site conversion.
- Key development or implementation milestones.
- System test, certification of application software, and acceptance of the system (prior to operational use).
- Training.
- Operational use.
- Ongoing capacity analyses and other analyses, including risk assessments, system tests, recertification, and training.

— NOTE —

Suggest, to the extent practicable, using fiscal year quarters in lieu of specific dates (for example, February 12, 1991, would be characterized as 2nd QTR FY 91). This is applicable to FRDD's and all enclosures and attachments and APR's.

20.302-4 Life-Cycle Cost, Funding Data, and ITSP Cross-Reference [no comparable FIRM subpart]. Show, in tabular form, the potential total life-cycle dollar cost of the acquisition, characterized by FIP and non-FIP resources and broken out by each category of FIP resource (that is, FIP equipment, software, services, support services, and related supplies). Also show, in tabular form, all

anticipated funding for all fixed and recurring potential life-cycle costs, by fiscal year, appropriation, and Unique Project Number (UPN). Finally, provide an appropriate cross-reference to the ITSP (or an explanation as to why there is no ITSP reference) that identifies and validates the requirement and its potential total life-cycle cost. With regard to the ITSP, each system should have an appropriate alphanumeric system identifier (System ID) and be keyed to the ITSP Exhibit 2 entries that projected the planned funding for the acquisition. Also:

- Additions (that is, FIP equipment) to existing systems should refer to the System-ID already assigned to the system (in the ITSP Exhibit 1) to which the FIP equipment will be added.
- Deployment of excess or surplus FIP equipment that has been justified and approved, may require a new System ID.

20.303 Standards. Implementation plans shall include a tabular enclosure identifying the standards that are applicable to the acquisition. These include FIPS, voluntary Federal, national, and international standards, and Agency-unique standards. (See FIRMR Bulletin C-3.) This enclosure shall identify which standards will be observed and which mandatory standards will not be observed. The reasons for nonobservance of mandatory FIPS must be described, and the authorization to deviate must be identified; for example, a waiver has been granted or a waiver has or will be requested. Also, the enclosure should contain a schedule to request a waiver if the waiver will not be obtained prior to receipt of the DPA.

When it is decided that a required FIP resource is not in compliance with an applicable mandatory FIPS, these procedures shall be followed:

- The sponsoring office should determine whether adherence to a mandatory FIPS would preclude or severely impact the accomplishment of the Agency's mission. If compliance would preclude this accomplishment or result in probable serious adverse (mission or financial) consequences, the sponsoring office should determine if the specific FIP resource is already excluded from the FIPS. If not, a waiver should be sought in accordance with the procedures given below. Whenever possible, waiver requests should be submitted with the related FRDD.

The National Institute of Standards and Technology (NIST) accredits laboratories that validate processors and provide other FIPS conformance testing products and services. The FIPS for which these products and services are provided include the following:

- ▶ Ada;
- ▶ BASIC (Beginner's All-purpose Symbolic Instruction Code);
- ▶ COBOL (Common Business-Oriented Language);
- ▶ Fortran (Formula Translator);
- ▶ Pascal;
- ▶ SQL (Structured Query Language);

- ▶ MUMPS (Massachusetts General Hospital Utility Programming System);
- ▶ GKS (Graphics Kernel System)—FIPS 120 and International Standards Organization (ISO) 7942;
- ▶ POSIX (Portable Operating System Interface for Computer Environments)—FIPS 151 and Institute of Electrical and Electronics Engineers (IEEE) Standard 1003.1;
- ▶ Message Authentication;
- ▶ Key Management;
- ▶ Validation;
- ▶ DES (Data Encryption Standard); and
- ▶ GOSIP (Government Open System Interconnection Protocol)—FIPS 146.

For GOSIP, registers of Abstract Test Suites, Means of Testing, and Conformance Testing Laboratories are available covering a wide range of the GOSIP standards. NIST publishes a quarterly book, Validated Processor List [National Technical Information Service (NTIS) order code PB91937300], which should be consulted for further information. Subscriptions are available from NTIS at (703) 487-4630.

- All requests for waivers to FIPS shall include, as an enclosure, the Installation's migration plan (which is not subject to any page limitation) to comply with the FIPS. The migration plan must demonstrate the Installation's commitment and approach to ensuring compliance with the pertinent FIPS in the foreseeable future. This migration plan may be acquisition-specific; however, an Installation-based migration plan is preferred. If a migration plan is not feasible, a justifiable explanation signed by the SIIO may be submitted.
- **Waivers to FIPS.** The FIRMR delegates to the Administrator the authority to waive, under specified conditions, previously issued and all subsequent FIPS that are compulsory upon NASA in the acquisition, management, and use of FIP resources. The Administrator has redelegated that authority to the DSO.

The following policies and procedures will govern the request, review, approval, and notice of FIPS waiver requests:

- *Policies.* Waivers to FIPS will only be granted when compliance would—
 - ▶ have a major adverse impact on the accomplishment of an Agency mission; or
 - ▶ cause a major adverse financial impact on an Agency mission that is not offset by Agencywide or Governmentwide savings.

Installations should also consider the effect of the waiver on the Installation's, program's, and the Agency's IRM strategic plans, as well as their goals, objectives, and initiatives, to improve the overall interoperability and portability of FIP resources.

— *Procedures.* Waiver requests will—

- ▶ be submitted in writing to the DSO (or GSA through the DSO in the case of Federal Telecommunications Standards [FED-STD]);
- ▶ identify the reason(s) (economic or mission impact) for the request;
- ▶ contain sufficient documentation and rationale to justify the request, including:
 - a description of the existing or planned FIP systems or other FIP resources for which the waiver is being requested;
 - a description of the FIP system configuration, identifying those resources for which a waiver is being requested, which includes a description of planned expansion of the systems configuration at any time during its life cycle;
 - a justification for the waiver, including a description and discussion of the major adverse economic or mission impact that would result by conforming with the standard as compared to the alternative for which the waiver is requested; and
 - the migration plan to comply or the reasons and justifications if one is not appropriate;
- ▶ clearly identify any classified or procurement-sensitive portions (Code HS concurrence is required before its release outside the Agency);
- ▶ be signed by the SIIO and concurred in by the SPIO; and
- ▶ be submitted to the DSO for approval. (The request will be reviewed by Code JT, which will recommend approval or disapproval and write the decision memorandum.)

Code JT is responsible for sending a copy of all decision memoranda approving a waiver request to NIST at the following address:

National Institute of Standards and Technology
Attention: FIPS Waiver Decisions
Technology Building, Room B-154
Gaithersburg, MD 20899

Classified or procurement-sensitive portions will be limited to the maximum extent possible; remaining portions will be clearly identified, and notice given NIST that further dissemination is unauthorized without the knowledge and approval of the Agency.

Code JT is also responsible for notifying the Office of Legislative Affairs (Code L) of the need to notify the Committee on Government Operations of the House of Representatives and the Committee on Governmental Affairs of the Senate of approved waiver requests.

Code JT is responsible for preparing the NASA notice to the Federal Register regarding approved waiver requests and will comply with NMI 1410.10, *Federal Register: Delegation of Authority and Requirements for Publication of NASA Documents*. Such notices will be reviewed and concurred in by the Management Systems and Analysis Office, Code JM-2, and the Office of General Counsel (General Law), Code GG, signed by the Associate Administrator for Management Systems and Facilities, and forwarded to Code JM-2 for certification and submission to the Federal Register.

The DSO shall transmit the decision memorandum to the requesting SIO through the SPIO. The cognizant Installation Procurement Office shall cause to be published in Commerce Business Daily (CBD) a notice of the waiver decision as part of the notice of the solicitation. If the waiver decision is made after the notice of solicitation has been published, an amendment to the CBD solicitation notice advising of the waiver decision shall be made.

A copy of the waiver, all supporting documentation, and the decision memorandum, with such deletions as the Agency is authorized and decides to make under the Freedom of Information Act [5 U.S.C. Sec. 552(b)], will be made part of the Installation procurement file and retained by the Agency. (Once sensitive material has been deleted from a document, both documents should be part of the official file. The censored document should be retained to identify what information was released.)

No solicitation may be issued requiring noncompliant FIPS FIP resources without prior approval of a waiver request. Where a solicitation allows consideration of alternative non-compliant FIPS FIP resources, no contract award shall be made without prior approval of a waiver request.

- *Exemption to FED-STD.* Requests for exemptions from the mandatory use of FED-STD are governed by the same policies and procedures and will be processed as above for FIPS, with the exception that GSA approves the request. All exemption requests received by Code JT will be coordinated with Code OS prior to concurrence by the DSO. Code JT will forward exemption requests to GSA in accordance with FIRMR 201-20.303 (d) (2) over the signature of the DSO.

20.304 Capability and Performance Validation [reserved]. See FIRMR Bulletin C-4.

20.305 Delegation of GSA's Exclusive Procurement Authority. By law, GSA has been given the exclusive authority to procure all FIP resources for the Federal Government subject to the Brooks Act. Usually, GSA delegates its authority to the Federal Agencies so that the agencies can satisfy their own requirements. GSA employs the following 3 types of delegation to accomplish this:

- **Regulatory Delegations.** Procurement authority is provided by the FIRMR to all agencies to conduct certain acquisitions without notifying GSA. NASA's regulatory delegation has been superseded by a specific Agency delegation.

- **Specific Agency Delegations.** Procurement authority is provided by GSA to an agency to conduct certain acquisitions without notifying GSA. It is provided to an agency on an agency-by-agency basis after GSA completes its Information Resources Procurement and Management Review (IRPMR) of the agency. GSA may increase, decrease, or otherwise modify the regulatory delegation. NASA has a specific Agency delegation in lieu of a regulatory delegation. See Subsection 20.305-2 below.
- **Specific Acquisition Delegations.** Procurement authority is provided by GSA to an agency to conduct a specific acquisition and granted on an acquisition-by-acquisition basis only after GSA reviews an APR. A Trail Boss delegation is a variation of a specific acquisition delegation. It is discussed in Subsection 20.305-3 on page 20-42.

CO's are responsible for ensuring that they have the requisite delegated procurement authority for all procurement actions subject to the FIRMR.

The DSO retains the right to revoke or suspend any delegation (regulatory, specific Agency, or specific acquisition) when he or she determines that circumstances warrant such action. Before taking such action, the DSO shall advise the cognizant SPIO and Code HS.

20.305-1 Regulatory Delegations. GSA has modified NASA's regulatory delegation and FIRMR 201-20.305-1 has been superseded by Enclosure C-1 on page C1-1.

20.305-2 Specific Agency Delegations. Enclosure C-1 explains NASA's specific Agency authority. Enclosure C-1 is directive upon the Agency and shall be complied with in its entirety.

The following clarifies the interpretation and application of NASA's specific Agency delegation.

- NASA has an unlimited DPA for all FIP-related supplies.
- NASA has one specific Agency delegated authority for those acquisitions of FIP resources:
 - that include specific make and model specifications for any FIP resources; and
 - that can be satisfied by only one responsible source.

Compatibility-limited requirements are not necessarily covered by this specific Agency delegated authority unless only one product or one responsible source can satisfy the compatibility-limited requirement.

A specific Agency delegation permits the Agency to acquire these FIP resources without asking GSA's permission so long as the dollar value of these FIP resources does not exceed the dollar value threshold in Enclosure C-1 for these FIP resources. Each category of FIP resources (that is, FIP equipment, software, services, or support services) is separately subject to this threshold. FIP

maintenance is not a separate FIP resource for this determination, but is rather a subset of FIP support services.

- NASA has another specific Agency delegated authority for all other FIP resources. A specific Agency delegation permits the Agency to acquire these FIP resources without asking GSA's permission so long as the dollar value of these FIP resources does not exceed the dollar value threshold in Enclosure C-1 for these FIP resources. Each category of FIP resources (that is, FIP equipment, software, services, or support services) is separately subject to this threshold. FIP maintenance is not a separate FIP resource for this determination, but is rather a subset of FIP support services.
- When FIP resources are combined in any way and acquired, a specific DPA for the acquisition must be obtained from GSA if the estimated value of any one category of FIP resource (that is, FIP equipment, software, services, or support services) exceeds the applicable threshold. Where more than one category of FIP resources (other than FIP-related supplies) is being acquired, once one category of FIP resources exceeds a threshold, all the FIP resources require a specific acquisition delegation.
- If a solicitation could result in the award of multiple contracts (for example, Phase A/B procurements), with each contract having a value less than its applicable threshold (that is, competitive or noncompetitive), the solicitation would still require a specific acquisition DPA if the total potential value of any category of FIP resource called for by the solicitation exceeds its applicable threshold. What is important is the total potential value of the acquisition as a whole, not the number of individual contracts that may be awarded.
- Solicitations or contracts for FIP resources, entered into by authority of section "8(a)" of the Small Business Act, are subject to the same rules governing FIRMR applicability. The same regulatory thresholds and criteria (that is, specific make or model specification and only one responsible source) are also applicable to such solicitations and contracts.¹ Accordingly, an 8(a) acquisition is *not* a sole source as long as—
 - the acquisition does not include make and model specifications for any FIP resources; and
 - the FIP resource can be obtained from more than one responsible source.

For example, an 8(a) contract that requires the contractor to acquire Digital Equipment Corporation (DEC) FIP equipment would be subject to the noncompetitive threshold; only DEC produces DEC equipment, regardless of whether multiple third-party vendors offer the FIP equipment. An 8(a) contract that requires the contractor to acquire IBM-compatible microworkstations would be subject to the competitive threshold as long as the contract did not direct the contractor to acquire

¹On an Indefinite Delivery/Indefinite Quantity (ID/IQ) 8(a), as a matter of NASA policy, the maximum potential contract value, not the guaranteed minimum contract value, shall be used to assess the competitive/noncompetitive thresholds.

the FIP equipment from a specific vendor; there are multiple original equipment manufacturers (OEM's) producing IBM-compatible microworkstations.

- The same criteria and thresholds apply to GSA's nonmandatory schedule contracts. See also Subsection 39.8, Required Sources of Supplies and Services, on page 39–8.

20.305-3 Specific Acquisition Delegations. When a specific acquisition DPA is required, NASA's policy is to obtain one DPA for the acquisition prior to the release of the solicitation for the FIP resources to be purchased throughout the contract's term. There may be cases when this is not possible, such as when the requirements for FIP resources cannot reasonably be identified at the time of the solicitation but are identified prior to contract award, or when requirements for FIP resources unexpectedly need to be added after contract award. In such cases, NASA will obtain specific DPA's (or amendments to existing DPA's) prior to signing the contract or prior to adding (via change order, modification, task order, and so on) the requirements to the contract. (This applies only to contracts awarded after October 1, 1990.)

If the maximum potential award value of a contract or modification, awarded pursuant to a DPA, is less than the DPA amount (that is, the amount usually requested in the APR), the maximum potential award value becomes the limit of the delegated procurement authority. For example, if a specific acquisition DPA is granted by GSA based on an APR in the amount of \$100 million, the base value of the contract awarded is \$50 million, and the maximum potential value of all priced options is \$25 million, NASA may not exceed the contract value of \$75 million without an amendment to the DPA. The DPA becomes \$75 million. If the supporting APR includes \$25 million for anticipated changes, technology upgrades, value engineering, engineering change proposals, and so on, but these changes are not priced at the time of award, exercise of these "changes" requires amendment of the DPA before the contractor is authorized to incur an obligation. (In other words, unilateral change orders are not allowed until the amendment to the DPA is received and, even then, the contractor may not incur an obligation in excess of that amended amount.)

If a contractor's procurement action would result in exceeding the DPA for the prime contract, it is NASA's responsibility to prepare and submit the APR, including all supporting documentation, to obtain the requisite authority from GSA. Government contractors are not required to, nor can they, obtain specific acquisition DPA's under any circumstances. However, NASA may direct the contractor to prepare all the documentation required to support an APR submission, including the FRDD. This obligation is a contractual one, not one imposed by the FIRMR.

- **APR Policies.**

- Because FIP resources are a pervasive NASA requirement, every acquisition will be reviewed to determine whether it is subject to the FIRMR and whether NASA has or must obtain authority to acquire the FIP resources.
- All documents referenced by, attached to, or associated with an APR (including the FRDD and its attachments and enclosures, the procurement plan or minutes of the ASM, and the JOFOC) must be consistent. (This is absolutely imperative: inconsistencies are the major

reason NASA APR's are questioned or rejected by GSA.) Substantive inconsistencies among these documents must be reconciled (that is, the inconsistency either eliminated or explained) before submitting the APR to HQS. When ambiguities, inconsistencies, or inaccuracies are discovered in an APR (or among the referenced, attached, or associated documentation), the APR will be returned to the Installation PO for correction without HQS action. The PO who submits the APR is the HQS focal point for reconciling inconsistencies among the APR, the FRDD and its attachments and enclosures, the procurement plan or minutes of the ASM, the JOFOC, and other referenced, attached, or associated documentation. Any document that requires corrective action will be sent to the PO who will act as the conduit at the Installation to identify the appropriate office(s) responsible for correcting or revising the document(s). The ultimate responsibility for revising a document lies with the originator of the affected document.

- An APR for requirements that include non-FIP resources (for example, an embedded product) must also describe the non-FIP resources. The DPA, though, only applies to the FIP resources. However, GSA has indicated that NASA should report changes affecting the non-FIP resources that occur during the solicitation period or contract term if those changes will affect the FIP resources to such an extent that the DPA will require modification. GSA expects to be advised as soon as practicable of the effect of changes to the solicitation or contract that could impact the DPA, whether they involve the FIP or non-FIP resources.
- **FIRMR Applicability and Procurement Authority Determination.** The following procedures shall be followed to assess and document whether the acquisition requirements are subject to the FIRMR and whether the Agency has or must obtain authority to acquire FIP resources.
 - The CO shall, consistent with Installation procedures, determine whether the acquisition is subject to the FIRMR.
 - This includes reviewing the acquisition requirements and determining the following:
 - ▶ how the requirements will in all probability be satisfied;
 - ▶ whether FIP resources will be involved;
 - ▶ the categories and value of FIP resources and non-FIP resources to be acquired or used;
 - ▶ whether the requirements fall within FIRMR 201-1.002-1 (a) or (b); and
 - ▶ whether the requirements are excepted by FIRMR 201-002-2.
 - Requirements shall be divided into FIP and non-FIP resource requirements and each category of FIP resources (FIP equipment, software, services, support services, and related supplies) identified as accurately as possible. (FIP support services subject to the Service Contract Act [see FAR 22.10 and NFS 18-22.10] should also be identified to determine the applicability of that Act to the acquisition.)

- Once a determination is made that an acquisition is subject to the FIRMR, the CO shall determine whether he or she has the authority to acquire the FIP resources by virtue of a regulatory or specific Agency delegation or whether a specific acquisition DPA must be obtained.

This should be done by comparing the value of the individual categories of FIP resources to the thresholds in Enclosure C-1 on page C1-1. If any category of FIP resources exceeds the applicable dollar thresholds, then a specific acquisition DPA is required and an APR must be prepared and submitted to GSA. If no category of FIP resources being acquired exceeds the applicable thresholds, then a specific acquisition DPA is not required and an APR need not be prepared.

For example, consider 3 procurements having system life-cycle and contract costs shown in Exhibit 20-5 below. Assume the 3 procurements are fully competitive. Based on the thresholds in Enclosure C-1, an APR would be required for procurement B, but *not* for procure-

Exhibit 20-5. Sample Procurement APR Requirement Matrix

<i>Estimated Cost (in Millions)</i>	Procurement A	Procurement B	Procurement C
FIP Equipment	\$1.9	\$2.1	\$1.8
FIP Software	1.9	0.9	1.1
FIP Services	1.9	1.4	0.4
FIP Support Services	1.9	2.4	1.5
FIP Related Supplies	1.9	1.9	2.5
TOTAL FIP RESOURCES:	\$9.5	\$6.7	\$9.2

ments A and C. (Both FIP equipment and FIP support services exceed the \$2 million threshold.) In procurement C, if more than \$200,000 of the FIP equipment was intended for a specific make and model processor, even though the acquisition is “competitive,” then procurement C would likewise need a specific acquisition DPA.

- When conducting the required assessments, use the maximum planned or projected contract life-cycle dollars (whichever is higher) of all resources (both FIP and non-FIP) being acquired, rather than the currently approved budget dollars. These costs should include anticipated inflation and be expressed in real-year dollars. This value should also be used in the APR.

— NOTE —

The maximum possible cumulative dollar value of the contract(s) entered into by authority of a DPA may not exceed the value of the DPA granted by GSA.

In the past, we have seen a number of procurement actions where the initial APR failed to consider the potential of a larger-than-anticipated budget or even planned increases to that budget. Yet the solicitation or contract included “optional” provisions for those contemplated, but as yet unapproved, expenditures. Soliciting or contracting for these “optional” requirements without authority violates the FIRMR. Our experiences indicate that GSA is not inclined to increase our DPA for these “optional” require-

ments (or otherwise grant authority to ratify our actions) once the budget is reconciled and we desire to exercise those “options.” GSA expects NASA to include *all* potential requirements in the initial APR submission, just as we typically make provision for them in the solicitation or contract.

As discussed earlier, another area that affects the projected value of the solicitation or contract is change provisions. A change provision represents a potential cost that should be considered and added to the planned or projected contract life cycle value. GSA expects NASA to include *all* potential costs, including changes (if they can be estimated), in the initial APR submission. Notwithstanding, if the price/cost of these changes cannot be established at the time of award, it will be necessary to request an amendment to the delegation to cover the value of these changes after the costs become known, even though the estimate was included in the original APR. Its inclusion in the original APR is also best evidence of the Agency’s intentions, that it was contemplated within the scope of the contract, and should facilitate GSA’s review and approval of an amended DPA.

- For all NASA acquisitions greater than \$50,000, these assessments and determinations will be documented in the contract file with the certification shown in Exhibit 20-6 on page 20-34. For acquisitions equal to or less than \$50,000, this NHB delegates to the Installation PO the authority to establish local procedures to make these determinations and document the results.

SIIO concurrence with the determination is required on all acquisitions exceeding \$25 million in total resources. It is an Installation (SIIO) option on all other acquisitions, which may be

— NOTE —

Program Offices should understand when reviewing the FRDD, procurement plan or ASM minutes, JOFOC, and other presolicitation and solicitation documentation, that the potential maximum acquisition value expressed in these documents may not be consistent with the budget or other program-approved funding profiles. While an APR should bear a strong relationship to the budget and anticipated funding profile, given the unpredictability of our missions and programs, a degree of flexibility should be built into our acquisitions, commensurate with the nature of the acquisition. Experience has demonstrated the wisdom of this approach. Additionally, by evaluating these “optional” requirements in a competitive environment, the Government avoids the undesirable alternative of possibly doing so in a noncompetitive environment. Obtaining a DPA that includes these “options” does not obligate the Government to either solicit or contract for the “options” or, if solicited and contracted for, expend these “option” quantities. In this regard, the funding Program Office can restrict the redelegation of a DPA to the Installation by limiting the exercise of these “options” or placing other conditions on the expenditure of funds on the contract in excess of the budget or anticipated funding profile.

Exhibit 20-6. FIRM Applicability and Procurement Authority Certification**FIRM APPLICABILITY AND PROCUREMENT AUTHORITY CERTIFICATION**

Procurement Title: _____

Procurement Request Number: _____

The acquisition requirements have been reviewed and an assessment of the resources to be delivered or used in satisfying these requirements has been made. These resources have been characterized as either FIP or non-FIP resources. Based on FIRM 201-1.002, including FIRM Bulletin A-1, and NHB 2410.1, I determine that the subject procurement IS ___/IS NOT ___ subject to the FIRM.

[NOTE: If the contract will involve information technologies determined to be not subject to the FIRM, explain the rationale in a separate attachment.]

If the acquisition is subject to the FIRM, I certify that the thresholds in Enclosure C-1, NHB 2410.1 have been reviewed and that this procurement DOES ___/DOES NOT ___ require a specific acquisition Delegation of Procurement Authority.

FIP Resources:

Equipment	\$ _____
Software	_____
Services	_____
Support Services	_____
Related Supplies	_____

Total FIP Resources \$ _____

Non-FIP Resources \$ _____
(Include incidental and embedded FIP Resources)

Total of All Resources \$ _____

Contracting Officer: _____

Concurrence (if required): _____
 SIO (if greater than \$25 million)
 SIO or designee (if less than \$25 million and required by Installation procedures)

____ Attachment: Rationale for Non-Applicability of FIRM to FIP Resources

delegated. A copy of this determination will be sent through the cognizant SPIO to Code JT on all acquisitions exceeding \$25 million in total resources. This should occur as soon after the SIO's determination as practicable, but before the release of any solicitation.

- **APR Procedures, Roles, and Responsibilities.** FIRMR Bulletin C-5, this subsection, and Enclosures C-3 and C-4B shall be followed when submitting APR's to obtain specific acquisition DPA's for other than Trail Boss acquisitions. Enclosure C-3 contains detailed procedures for submitting APR's and delineates the roles and responsibilities of the organizations involved in the development, processing, review, concurrence, approval, and transmission of the APR. Enclosure C-4B modifies the format and content requirements of FIRMR Bulletin C-5. Enclosure C-4A is a suggested letter format for transmitting the APR from the Installation to the IPO. Enclosure C-4C is a suggested letter format for transmitting the APR from the IPO to the DSO. Enclosure C-4D contains an example of an APR.
 - The PO shall transmit the original APR (including the FRDD (preferably already approved by the SPIO), and the other documentation listed as applicable in paragraph 7, *Regulatory Compliance*, in FIRMR Bulletin C-5 as modified by Enclosure C-4B) to his or her cognizant IPO or for HQS, Code JT. Final HQS action on the APR will not occur until after final HQS approval of the FRDD, other required documentation (for example, JOFOC's, FIP waivers, and so on), and the procurement plan (or minutes of the ASM), as required. If any of these documents do not require HQS approval or has already received HQS approval and is not required as part of the APR submission to GSA, the PO will so indicate in his or her cover letter transmitting the APR to the SPIO and indicate the date the document was finally approved (at the Installation or at HQS, as appropriate). For example, if approval of the procurement plan was delegated to the Installation, a notation of such and the date the plan was approved at the Installation would suffice. If an ASM was conducted at HQS, notation of such and the date of the ASM and the date the minutes of the ASM were approved would suffice. Neither of these documents need to be transmitted to HQS since they are not required as part of the APR submission to GSA. However, because a JOFOC is part of an APR submission, merely referencing the JOFOC and the date of its approval would not suffice. Accordingly, prior approval of the JOFOC (at the Installation or HQS, as appropriate) is required before the APR will be forwarded to GSA for action. If substantive ambiguities, inconsistencies, or inaccuracies are identified, the APR (and other pertinent documentation) will be returned by the SPIO to the Installation PO without HQS action for correction. (Primary areas of concern include the requirements, funding, schedule, and acquisition strategies.) The responsibility for revising a document lies with the originator of the document.
 - Concurrently, the PO shall send identical copies of the APR package to Code JT and Code HS. (The SPIO will send copies of the APR package to other HQS funding Program Offices.)
 - The SPIO (Code JT for HQS acquisitions) shall coordinate and integrate programmatic, procurement (Code HS), and IRM (Code JT) reviews of the APR package. The SPIO shall also coordinate the resolution of problems with the Installation and the resubmission of amended APR documentation. In this regard, Code HS will work directly with Installation counterparts to work out procurement problems and provide comments to the SPIO along with recommended resolutions discussed and resolved with the Installation. Upon completion of this review, the SPIO shall submit the APR package to Code JT.

- Code JT shall conduct a final review of the APR package, obtain the signature of the DSO or designee, and submit the APR to GSA.
 - ▶ This NHB delegates to the Chief, IRM Policy and Acquisition Management Office, the authority to sign all APR's not exceeding \$10 million.
 - ▶ This NHB delegates to the Director, IRM Division, the authority to sign all APR's not exceeding \$25 million.
 - ▶ The DSO retains the authority to sign all APR's exceeding \$25 million and all Trail Boss APR's.

Code JT is the official and exclusive liaison with GSA regarding APR's. With the exception of Trail Boss acquisitions, all communications (both written and oral) with GSA will be through Code JT. If you are contacted directly by GSA, please advise GSA of this policy and direct GSA to the appropriate analyst in Code JT.

- Up to this point, the process at HQS to review and submit an APR to GSA should not exceed 45 calendar days, assuming a reasonably competent submission. Installations should plan accordingly. See Exhibit C-1 on page C3-3 for a recommended timeline for completing this review.
- Upon receipt of the DPA, Code JT will provide Code HS and the sponsoring SPIO or, if a HQS acquisition, the SIIO in Code J, the opportunity to review and augment the DPA, not inconsistent with its terms and conditions. It is the responsibility of the SPIO to assess whether other funding Program Offices desire to review and augment the DPA. If any additional procurement-related conditions are suggested to be imposed upon the DPA, concurrence by Code HS will be sought prior to redelegation. The DSO or designee will then redelegate the DPA to the Installation PO.
- SPIO's and the SIIO in Code J shall collect DPA and contract status information from their PO's. This information will be forwarded to Code JT. SPIO's and the SIIO in Code J shall monitor compliance with DPA's. Installations (SIIO, PO's, CO's, and so on) shall advise their SPIO's as soon as practicable of issues or problems that might impact a DPA. Code JT shall be advised by the SPIO and the SIIO in Code J accordingly.
- **GSA Review of APR Submissions.** As part of GSA's oversight responsibility and in the desire to focus their limited resources on critical Federal acquisitions, GSA has instituted a 3-tier review process for APR's that will increase the attention given to and concentrate more effort on comprehensive predelegation reviews of select acquisitions. GSA intends to rely on the *5-Year Plan for Meeting NASA Information Technology Needs* and other Agency planning documentation (MITAP, ITSP, and so on), including APR's, to identify those acquisitions to be singled out for more comprehensive reviews.
 - *Tier 3—GSA Review Priority Systems (Comprehensive).* GSA has indicated that it intends to select acquisitions of FIP resources exceeding \$100 million for a tier 3 review. However,

other high-visibility, high-risk, or mission-critical acquisitions of FIP resources for less than \$100 million could also be selected by GSA. GSA has indicated it intends to have approximately 70 major Federal acquisitions in this review program at all times. GSA has no specific time objectives within which to review an APR or to grant a DPA. Characteristics of the tier 3 APR process and GSA review are as follows:

- ▶ APR's shall be submitted in accordance with FIRMR Bulletin C-5 and this NHB. *All* required presolicitation documentation shall be enclosed with the APR and submitted to GSA. GSA intends to review this documentation prior to granting a DPA. APR's will not be processed at HQS without all required presolicitation documentation.
- ▶ DPA's will more than likely be issued on the condition that the solicitation document must be submitted to GSA for review before its release. In such cases, the Installation must submit the intended solicitation document—Invitation for Bid (IFB) or Request for Proposal (RFP)—to GSA for review and approval before its release. This requirement does not preclude the Installation from releasing Requests for Information (RFI) or *draft* versions of the solicitation to obtain industry comment.
- ▶ The Installation will be required to conduct a postoffer or postbid review with GSA to disclose bidder/proposer or other comments to the solicitation and its process, Agency and GSBCA protests to the solicitation, and both how the comments were reconciled and how the protests were resolved. This may be done in person, by video-conference, or by teleconference, at GSA's option. (A prebriefing with Codes HS and JT and the SPIO will be conducted before briefing GSA.)
- ▶ The Installation will be required to conduct a preaward review with GSA to review the results of the evaluation process and to review the proposed selection as well as the supporting rationale. GSA wants assurance that the Agency complied with the prescribed evaluation process and that there is a rational basis for the selection. It may include disclosing scores and the apparent winner. The Agency shall advise GSA during the briefing of the sensitivity of this information and of the requirement to properly protect all source selection sensitive information. GSA representatives shall also be required to sign Procurement Integrity forms. The scope of the presentation will be established by GSA on a case-by-case basis. This may be done in person, by video-conference, or by teleconference, at GSA's option. This should occur after the selection of, but before notification of, the winner. (See parenthetical note in previous bulleted item.)

It should be expected (and planned for) that obtaining a DPA through this process will always exceed 20 workdays and may be upwards of 60 workdays on average. Additional delays in the solicitation process should be expected because of the conditional reviews explained above.

- *Tier 2—Abbreviated (Routine).* GSA intends to select the following types of acquisitions for FIP resources (including amendments to existing DPA's) for its tier 2 review:

- ▶ APR submissions with visible problems (for example, inconsistent documentation);
- ▶ APR submissions requiring coordination outside GSA's Information Resources Management Service (for example, requests for deviations to the FIRMR; ratification); and
- ▶ acquisitions of FIP resources greater than \$50 million, if full and open competition, or greater than \$5 million, if other than full and open competition.

GSA's objective is to review a tier 2 APR and grant a DPA within 20 workdays.

- *Tier 1—Accelerated.* All other acquisitions (including amendments to DPA's, such as for change provisions) fall in tier 1. GSA's objective is to review a tier 1 APR and grant a DPA within 5 workdays.

The PO or designee shall prepare and submit through the SIO to the SPIO (or in the case of HQS acquisitions submitted directly to Code JT from the SIO) the following reports:

- *6-Month Status Report.* GSA requires a 6-month report of the status of all specific acquisition DPA's for which a contract or modification has not been awarded. These reports are due to Code JT not later than May 15 and November 15 of each year. Code JT shall submit this information to GSA not later than June 1 and December 1, respectively. Reporting in this fashion satisfies GSA's preaward reporting requirement in the DPA. The contents of the progress reports are specified in the DPA.
- *Contract Award Report.* GSA requires a contract award report on the exercise of a specific acquisition DPA within 30 days after contract or modification award. These reports are due to Code JT not later than 25 days after the award of a contract or modification.
- *Annual Status Reports.* Code JT requires a annual status report on all extant contracts with specific acquisition DPA's. These reports are in lieu of (and not in addition to) GSA's annual reporting requirement in Trail Boss and other specific acquisition DPA's. These reports are due to Code JT not later than November 15 of each year. For those contracts on which GSA has requested annual status reports, Code JT will submit the information to GSA not later than December 1.

— NOTE —

These report schedules will be complied with even though a DPA may have been received or a contract award report filed during the reporting period. Just report the status between the receipt of the DPA or submission of a contract award report through the end of the reporting period. For example, if a contract award report was submitted on October 1, provide an annual status report for only the period October 1 through November 15.

— NOTE —

As discussed earlier, NASA's regulatory authority was reduced, in part because of deficiencies noted in the Agency's management of its delegated procurement authority during GSA's most recent IRPMR of NASA. If the Agency is to recover that authority or hope to increase that authority over the regulatory thresholds, NASA must do better in the management of its delegated procurement authority, both generally and specifically.

The contents of the Contract Award Report and the Annual Status Report are prescribed in Exhibit 20-7 below. Code JT will provide Code HS a copy of all reports submitted to GSA.

Exhibit 20-7. Preparation Guidelines for Contract Award and Annual Status Reports

Contract Award Reports
After contract award, a report is required on the contract(s) or modification(s) awarded under the delegation.
<p>Within 30 days, the contract award report shall be submitted, including the following:</p> <ul style="list-style-type: none"> • contract or modification number • contract or modification award date • contracting officer's name and telephone number • anticipated contract life (number of months or years) • estimated contract dollar value of FIP resources to be acquired under the contract during the life of the contract • start and completion dates for the acquisition phases, indicated below: <ul style="list-style-type: none"> — Determination of Need and Requirements Analysis — Analysis of Alternatives — Solicitation Preparation and Issuance — Proposal Evaluation and Award
Annual Status Reports
Subsequent status reports shall be submitted annually throughout the life of the contract.
<p>By November 15th each year, the annual status report shall be submitted, including the following:</p> <ul style="list-style-type: none"> • contract number • date the contract was terminated or completed • a brief discussion of progress in accomplishing mission program objectives and whether they are being achieved within projected milestones/schedule and costs; should address objectives, milestones/schedule, and costs established in the <i>baseline*</i> for the information system initiative. In the event a baseline is not required by the DPA, use the APR and FRDD • a brief discussion of whether it is necessary to make changes to baseline (or in the event a baseline is not required by the DPA, the APR and FRDD), program directives, program milestones/schedule, and program costs; also should address specific changes and the reasons for making the changes • a signed and dated copy of the revised baseline (or in the event a baseline is not required by the DPA, the APR and FRDD) for the information system initiative to include the total dollar value of FIP resources acquired under the contract covered by this DPA
<p>* Baseline Information: <i>Baseline Date</i>—"as of" date when the baseline is defined. <i>Brief Description</i>—the name and brief description of complete major information system initiative and appropriate mission program(s). <i>Program Objectives</i>—brief description of mission program objectives that depend on successful implementation of major information system initiative, in terms of specific benefits or improvements to mission effectiveness and service delivery. <i>Program Milestones/Schedule</i>—brief description of major milestones and schedule for acquisition, operation, maintenance of complete major information system initiative for accomplishing program objectives. Milestone/schedule should be organized by life-cycle phases (Definition/Analysis, Design, Development, Operation/Maintenance) and within phases by fiscal year quarter. <i>Program Costs</i>—projected in-house and contract costs for complete major information system initiative through Operation/Maintenance, presented by fiscal year quarter. Actual costs for quarters ending before baseline date. Dollar value, by contract, of FIP resources sought under contract(s) covered by requested or related DPA supporting the information system initiative. <i>Agency Official's Signature</i>—signature (and date) of agency official responsible for major information system initiative.</p>

- **Delegated Procurement Authority.** A procurement action (such as solicitation, contract, new work modification, change order, task order, or value or other engineering change) cannot exceed the value of the DPA, or, if the DPA has been exercised, the maximum potential value of the contract.
 - It is GSA's policy to grant to Federal agencies (through an agency delegation) the maximum amount of GSA's procurement authority, consistent with an agency's demonstrated ability to manage that authority. GSA makes that determination based on a number of factors, the most important being its IRPMR.
 - *DPA's are under the purview of the DSO.* It is the DSO's policy to grant the maximum amount of his or her delegated procurement authority (agency and specific acquisition) to the Installations, consistent with the Installation's demonstrated ability to manage that authority. In the past this policy has always resulted in the full delegation of the Agency's regulatory delegation to the Installations.

However, a concerted effort will be made in the future to manage this authority more actively. Code JT will determine, on not less than a triennial basis, the amount of delegated procurement authority to be granted to each Installation. This determination will be based on a number of factors, the most important of which will incorporate the results of the IRPMR (conducted by GSA), the IRM Review (conducted by Code JT), and (to a lesser extent) the Procurement Management Survey (conducted by Code HM). This determination will be made in coordination with the cognizant SPIO and Codes HM and HS.

- Regulatory or specific Agency delegated procurement authority and specific acquisition authority will be delegated to the Installation through the Installation PO. See Section 1, Applicability and Authority, on page 1-1, and Section 2, Designated Senior Official [*and IRM Organization and Structure*], on page 2-1.
- A DPA is obtained for the total FIP resources to be acquired, not the individual categories. The DPA is granted by GSA with the understanding that the Agency will acquire the FIP resources substantially as explained in the APR. In the APR, the Agency delineates and values the individual categories of FIP resources. GSA expects Agencies to generally maintain these values and thus to retain the nature of the requirement, the FIP resources that support the requirement, and the strategy to acquire those resources. GSA expects NASA to manage contracts in such a manner as to keep visibility of the costs of each category of FIP resources being acquired. It also expects the Agency to advise GSA of any changes in requirements, acquisition strategies, or reallocation of FIP resources that substantially alter the nature of the information provided GSA in the APR. This does not preclude reallocating resources among the categories of FIP resources, without first obtaining an amendment to the DPA from GSA. The operative question is whether the

— NOTE —

For fixed-price contracts it is sufficient to identify the FIP resources for which NASA has a DPA as a line item in the contract; there is no further responsibility to track contractor expenditures.

reallocation would substantially alter the nature of the requirement or the acquisition strategy. If neither the nature of the requirement nor the acquisition strategy would be substantially altered, the reallocation is permissible, as long as the total value of the DPA is not exceeded.

- No solicitation will be issued (or contract signed) until the CO determines that there is delegated procurement authority. In the case of a specific acquisition DPA, the DPA must be received from GSA prior to the release of the solicitation. Recent NASA experiences with GSA in seeking a deviation to the requirement to obtain a specific acquisition DPA prior to the release of a solicitation indicate that deviations will be very difficult and time-consuming to obtain. This does not preclude the release of RFI or requests for comments (RFC) from prospective bidders and offerors, or *draft* solicitation documents. Also, a CBD announcement of NASA's intent to issue a solicitation may be made prior to receiving a DPA.
- Those individuals entrusted with delegated procurement authority will comply with the letter and spirit of the authority granted. Questions involving interpretation, ambiguity, inconsistency, error, and so on, will be disclosed and discussed with Code JT.
- **Ratification.** At no time will NASA exceed its delegated procurement authority. CO's are responsible and accountable for ensuring that solicitations are released with appropriate authority, that contracts and modifications are executed with the appropriate authority, and that contracts are performed consistent with the DPA received from GSA. A DPA is similar to a CO's CWA. Just as a CO cannot exceed his or her CWA by \$1, neither can a DPA be exceeded by \$1, nor can any other substantive condition of the DPA be ignored.

If NASA exceeds its delegated procurement authority (regulatory, Agency, or specific), upon discovery the Installation shall immediately notify its SPIO and Codes JT and HS in writing and shall take steps to rectify the condition and obtain the requisite authority through a ratification of its unauthorized actions. Only GSA is empowered to ratify unauthorized actions that exceed NASA's delegated procurement authority. For unauthorized actions exceeding an Installation's delegated procurement authority, but not the Agency's delegated procurement authority, only the DSO is empowered to ratify unauthorized actions. These ratifications will be processed in accordance with the applicable provisions of the FAR and NFS. (See FAR Subpart 1.6 and NFS Subpart 18-1.6.)

All ratification actions will be concurred in by the Installation's Chief Counsel and by the SIO, regardless of the dollar value of the ratification action. Ratification actions will be forwarded to HQS following the procedures for APR submissions, along with an APR or amended APR, if appropriate, containing all requisite information and documentation. Prior to submitting the APR and ratification action to GSA, the ratification action will also be concurred in by Code HS. All APR's for ratification actions will be submitted to GSA over the signature of the DSO, regardless of dollar value.

Repeated violations of delegated procurement authority by an Installation, even if they are unintentional, could result in the reduction of delegated procurement authority from the Installation for a specified length of time.

- **Trail Boss Program, APR/DPA, and FRDD.**

- *Trail Boss Program.* The Trail Boss Program is a GSA-sanctioned approach to managing major (greater than \$100 million) FIP resource acquisitions.

A goal of the program is to help the Government modernize its major FIP systems through professionally managed and timely acquisitions.

Agencies using the GSA Trail Boss Program can take advantage of the following program features, including an early DPA (generally before completing the presolicitation documentation); education for originators and procurement personnel (that is, Trail Bosses and their deputies); and assistance to agencies and Trail Bosses in making acquisitions.

A Trail Boss is a program or project manager (PM)—a single person responsible and accountable for acquiring and implementing FIP resources. A Trail Boss could be likened to a NASA PM with responsibility for a complex, high-dollar-value spaceflight project. The roles, responsibilities, authorities, and accountability are comparable.

The Trail Boss Program is not intended to conflict with the inherent role, responsibility, authority, or accountability of the CO. Although the program does not preclude a Trail Boss from being a CO, this is not contemplated in NASA.

The importance and complexity of major FIP resource acquisitions require that a Trail Boss have the following qualifications:

- ▶ senior-level responsibility within an organization;
- ▶ experience and technical knowledge related to major FIP resource acquisitions in the Federal environment;
- ▶ an understanding of the applicable program areas that the FIP resources will support;
- ▶ well-developed management skills and familiarity with basic acquisition rules and regulations;
- ▶ the ability to build an effective team structure and deal successfully with multiple oversight organizations; and
- ▶ substantial experience in dealing with IRM issues.

The program's focus is on the people who will acquire and manage the development of large FIP systems rather than on the acquisition process or procedures. GSA hopes this will motivate those responsible for these acquisitions to seek out and implement innovative ways to accomplish their mission.

A major objective of the program is to ensure the early coalescing and teaming of the appropriate skills to accomplish the job and to obtain an early commitment to an acquisition strategy by both an agency and GSA.

The Trail Boss is expected to establish and manage an acquisition support team, integrating programmatic and procurement functions under his or her direction, to accomplish the mission. A benefit of this teaming will be the assurance of a known succession of Trail Bosses to improve the continuity of leadership of major FIP system acquisitions.

A Trail Boss will typically be a graduate of the GSA Trail Boss Education Program, which is designed to provide senior managers with modern tools and current insights for dealing with the complex problems involved in the acquisition and management of major FIP resources acquisitions. GSA currently sponsors this and a follow-on training program for Trail Bosses and critical team members. Attendance at one or both of these courses is suggested for a core of the team supporting a Trail Boss acquisition.

- *Trail Boss APR/DPA.* APR's for Trail Boss DPA's will be processed in accordance with FIRMR Bulletin C-7, this subsection, and Enclosures C-3 and C-5A. Enclosure C-5A modifies the content requirements of FIRMR Bulletin C-7. The documentation to be enclosed with the APR includes the Trail Boss Charter and the Statement of Qualifications of the Trail Boss and other key personnel, such as Deputy Trail Bosses. GSA will review and approve this documentation prior to granting a DPA. See Enclosure C-5B on page C5B-1 for an example of a Trail Boss APR, Charter, and Statement of Qualifications. A FRDD commensurate with the maturity of the acquisition at the time of the APR submission and a draft procurement plan or ASM, as and if required, will accompany the final APR to HQS. The FRDD will be structured in accordance with Subsection 20.002 on page 20-8. The FRDD will not be submitted to GSA unless requested, but will be reviewed and approved by the SPIO (and concurred in by Code JT).

GSA requires agencies to provide GSA with copies of the draft APR, Trail Boss Charter, and Statement of Qualifications as early in the acquisition planning process as possible, substantially before the formal transmission of these documents. Introduction of the acquisition and the proposed Trail Boss through a presentation to GSA (KMAS) is also required, before transmission of the final APR. These actions facilitate GSA's understanding of the acquisition and secure GSA's early commitment to the acquisition strategy. It also exposes any issues GSA wants addressed in the APR, Trail Boss Charter, or other presolicitation documentation. These actions will expedite the receipt of a DPA and the release of the solicitation.

Each Trail Boss APR submission generally will be tailored to the circumstances of the acquisition. This is why GSA wants to be involved early in the acquisition planning cycle. Generally, though, presolicitation documentation will be sent to GSA only if requested by the assigned GSA liaison official, and submission usually will not be a condition to obtain a DPA or to proceed with the solicitation. (As noted below, the Trail Boss may submit these directly to GSA with a copy to the affected HQS Offices.) However, the DPA usually will be issued on the condition that the solicitation document will be submitted to GSA not later than 30 days prior to its public release. Trail Boss DPA's will probably be issued on the condition that the solicitation document must be submitted to GSA for review prior to its release.

The Trail Boss shall submit 6-month progress reports on the status of the acquisition from the time of receipt of the DPA to the award of the contract, a contract award report upon execution of the DPA, and annual status reports on the executed contract as previously specified. (See Exhibit 20-7 on page 20-39.)

Like the tier 3 review, immediately following the submission of bids or proposals, the Trail Boss will be required to conduct a postoffer or postbid review with GSA, in conjunction with Code JT. The Trail Boss will also be required to conduct a preaward review with GSA.

Subject to HQS (Codes JT and HS) approval, the Trail Boss may suggest an alternative GSA review process that includes GSA in the normal program or acquisition review process at the Installation. This should be explained in the Trail Boss Charter.

GSA is committed to process a Trail Boss DPA within 20 workdays, plus 5 days for mailing. No additional delays (or only minor ones) to the solicitation should be expected because of the concurrent (and generally unconditional) reviews explained above. The following information supplements the procedures in FIRMR Bulletin C-7:

- ▶ Generally, the role, responsibilities, and procedures discussed in Enclosure C-3 on page C3-1 are applicable to submitting and processing a Trail Boss APR.
- ▶ Installations shall notify, in writing, the cognizant SPIO and Code JT on possible Trail Boss acquisitions as soon as practicable, preferably as part of the Installation ITSP.
- ▶ Once an acquisition is tentatively identified for inclusion in the program, the Trail Boss candidate is responsible for ensuring that the following events occur: (1) the Trail Boss and core management team are scheduled to receive Trail Boss training and; (2) a draft of the APR, Trail Boss Charter, and the Statement of Qualifications of the Trail Boss are developed. (The FRDD may be developed later, but must accompany the formal APR transmission.) The SPIO and the cognizant analysts in Codes JT and HS are available to assist. The candidate Trail Boss will submit this draft set of documentation to the cognizant IPO for review by the SPIO, with copies to Codes JT and HS. The SPIO will coordinate the review among these Offices and obtain concurrence from Codes JT and HS in both the acquisition as a candidate Trail Boss acquisition and the proposed Trail Boss and core management team.
- ▶ Following tentative approval of the draft documentation by the affected HQS Offices, Code JT will authorize the candidate Trail Boss to engage directly in discussions with GSA, specifically, the Chief, Authorizations Branch (KMAS), who will assign an analyst for this acquisition. Following this, written communications between the candidate Trail Boss and GSA may also be conducted directly, with copies of submissions being provided to affected HQS Offices (IPO, joint funding Program Offices, Codes HS and JT, and so on). An exception is the formal APR submission. This would also be the time to arrange to meet with GSA and submit the draft APR.
- ▶ The candidate Trail Boss is responsible for securing all necessary Installation and HQS concurrences and approvals of the APR, the Trail Boss Charter, the Statement of

Qualifications of the Trail Boss, and the FRDD. The SPIO, in conjunction with the cognizant analysts in Codes JT and HS, is responsible for assisting the candidate and otherwise facilitating the coordination of these documents.

- ▶ The letter forwarding the APR submission to GSA will be developed by Code JT for signature by the DSO.
- ▶ Prior to receiving the DPA, the Trail Boss candidate is required to submit a brief quarterly status report on the project to Code JT, with copies to the SPIO and Code HS. The first status report should be submitted within 3 months of submitting the draft documentation to HQS and is no longer necessary once a DPA is granted. This report should be no more than 2 pages, should highlight the significant activities of the project during the reporting period, and should discuss any significant issues, concerns, or problems. The report should also disclose the results of any substantive discussions with GSA. This reporting requirement ends with the receipt of the DPA.

20.306 Delegation of GSA's Multiyear Contracting Authority for Telecommunications Resources [reserved].

SECTION 21—OPERATIONS

21.000 Scope of Section. This section prescribes additional policies and procedures for operating FIP resources.

21.1 *[FIRMR RESERVED]*

21.2 INVENTORIES

21.200 Scope of Subsection. This subsection includes additional policy and procedures relative to maintaining inventories of FIP resources.

21.201 General. Code JT is responsible for coordinating NASA's submission to GSA's Automatic Data Processing Equipment/Data System (ADPE/DS).

Code JT also is responsible for coordinating NASA's response to any special GSA inventory requests not covered by the ADPE/DS. These reports include the biannual report of personal computer (PC) inventories, the ad hoc report on commercial off-the-shelf (COTS) software, including those under site licenses, and the inventory requirements of FIRMR 201-21.203 (b).

21.202 Policy. Installations shall maintain adequate systems to inventory their FIP resources to the extent necessary to comply with FIRMR 201-21.2.

The capabilities of the NASA Equipment Management System (NEMS) shall be used as much as possible. (It is recognized NEMS cannot satisfy all FIRMR inventory requirements.) To the extent feasible and practicable, automated inventory systems shall be interoperable and compatible with the Agency's automated inventory systems.

21.203 Procedures. Installations shall maintain automated inventories of their FIP resources to facilitate the reporting called for in FIRMR 201-21.201 (a) and (b). These systems shall be compatible and interoperable with the Code JT system for collecting and submitting the Agency's response to GSA. Code JT will provide a specification, including data formats, for the system to collect and submit the Agency's response.

Each SIIO or designee shall collect data for and submit the ADPE/DS input in accordance with both the *GSA ADPE/DS Reporting Procedures and Users Manual* and any additional letter instructions provided by Code JT. The Installations can obtain copies of this manual from Code JT. The SIIO shall submit the response through the SPIO to Code JT no later than November 1 of each year.

Relative to FIRMR 201-21.203 (b) requirements, Installations shall collect such data in the same system as the ADPE/DS. Annually, Code JT will call for a selective inventory of those FIP resources for which the Agency is paying recurring charges. Triennially, Code JT will conduct a call for a full

inventory of such resources. The Installations shall comply with HQS requests for these and any other special inventory requests.

Each SIIO shall designate a single point of contact for compliance with the requirements called for in this subsection and shall promptly notify Code JT of the person in writing through the SPIO. The SIIO shall promptly notify Code JT of any changes.

21.3 SECURITY AND PRIVACY [RESERVED]

See NHB 2410.9, *NASA Automated Information Security Handbook*, NFS 18-4.470, and related IPO, Code O, and Installation handbooks and other published guidance.

21.4 RESOURCES SHARING

This subsection prescribes additional policy and procedures for sharing FIP resources.

21.401 General. NMI 2210.2, *Distribution of NASA Computer Programs*, establishes NASA policy, procedures, and responsibilities concerning domestic and foreign distribution of FIP software developed by NASA or its contractors. Installations are required to provide NASA's Computer Software Management and Information Center (COSMIC) with a copy of all FIP software within the scope of NMI 2210.2.

COSMIC is an important part of NASA's Technology Transfer Program. COSMIC was established with the specific aim of transferring the technology captured in computer programs from NASA to the general public at cost. As part of its mission, COSMIC also distributes at no charge FIP software for use on NASA projects. COSMIC has proved to be an effective mechanism for sharing FIP software resources both within and across Installations and programs.

The Office of Commercial Programs (Technology Utilization Division, Code CU) is responsible for implementing policies and procedures for distribution of NASA FIP software, consistent with NMI 2210.2 and for assuring that those policies and procedures are followed.

21.402 Policy. The Installations shall routinely determine the extent to which they will make excess FIP services or common-use FIP software available to other Installations within NASA and to other agencies on a shared basis.

21.403 Procedures. Each SIIO shall implement a process to survey the Installation's FIP resources to determine the extent to which excess capacity of FIP resources should be made available. The results of this survey shall be sent to the cognizant SPIO and forwarded to Code JT.

In support of this activity, each Installation shall conduct an ongoing formal capacity planning program, not only to validate current capacity against current and future requirements for FIP resources

(and also gauge future requirements for FIP resources) but also to determine whether the Installation has excess capacity available to be shared. The results of this program shall be submitted to the SPIO and be otherwise available.

In this regard, paragraphs 8.a. and 12.a. of FIRMR Bulletin C-11 are directive upon the Agency. No later than November 15 of each year, the SIIO shall notify Code JT in writing, through the SPIO, of such excess capacity to be listed in Attachments A and B of FIRMR Bulletin C-11. The notification shall include the following information:

- name of Installation;
- point of contact, including address and telephone number; and
- manufacturer and system.

Code JT will notify GSA of any excess capacity no later than November 30 of each year.

Relative to FIRMR 201-21.403 (a) (2) (ii) requirements, if applicable, the SIIO shall submit GSA Form 2068A to Code JT, through the SPIO, no later than November 15 of each year, for delivery to GSA.

Each SIIO shall develop and implement policies and procedures that institutionalize and formalize the need to routinely review common-use software and, if applicable, report the availability of such software through COSMIC to the Federal Software Exchange Center (FSEC). Common-use software deals with applications (technical, scientific, and business) common to many agencies that would be useful to other agencies and is written in such a way that minor variations in requirements can be accommodated without significant programming efforts. Such software should be made available to FSEC. Because NASA-developed software can be made available to others only through COSMIC, notification of availability through FSEC will be coordinated by COSMIC. In this regard, paragraph 9.a. of FIRMR Bulletin C-12 is directive upon the Agency. COSMIC, through the Office of Commercial Programs (Code CU), shall submit the required documentation to Code JT for delivery to the Department of Commerce.

Each SIIO shall develop and implement policies and procedures that institutionalize and formalize the need to routinely review and identify FIP software within the scope of NMI 2210.2, suitable for external use and likely to be useful to organizations other than NASA. This software shall be submitted to the appropriate Technology Utilization Office, Code CU, for delivery to COSMIC.

The NASA bulletin board service (NASABBS) is an electronic bulletin board service (BBS) provided by the ARC ADP Planning and Analysis Office to promote the sharing of MS-DOS, Macintosh, and Unix software within the microcomputer user community. Software available from the NASABBS can be public-domain, user-supported (shareware), or developed in-house. All programs are screened for viruses before being made available to the user community. This free service is available to all NASA civil service and contractor personnel, 24 hours a day, 7 days a week. Call the NASABBS manager at FTS 464-1117, or commercial (415) 694-1117, for further information.

21.5 CONVERSION *[RESERVED]*

See Subsection 20.203-4 on page 20-20.

21.6 USE OF GOVERNMENT TELEPHONE SYSTEMS

21.600 Scope of Subsection. This subsection identifies pertinent NMI's and prescribes additional procedures and responsibilities governing the use of telephone systems and facilities provided, paid for, or reimbursed by the Federal Government.

21.601 Authorized Use of Long Distance Telecommunications Services. NMI 2540.1, *Use of Government Telephones*, establishes NASA policy for use of Government-owned or -provided telephone service. It restricts the usage of such telephone services to official business, emergency, and authorized personal calls only. It also provides management and enforcement guidelines to implement the policy. Code OS is responsible for implementing policies and procedures to comply with FIRMR 201-21.601 and for assuring that those policies and procedures are followed.

Supervisors are responsible for the management of telephone use within their jurisdiction. Such responsibility includes authorizing personal calls, as necessary in the interest of the Government, and identifying for collection and potential disciplinary action all unauthorized calls.

Each Installation shall develop procedures (to be approved by the SIIO or designee) for obtaining from supervisors certification that toll calls under their jurisdiction are for official business or emergency purposes, or are unauthorized personal calls.

Paragraph 8 of FIRMR Bulletin C-13 is directive upon the Agency.

21.602 Collection for Unauthorized Use. Each Installation shall develop procedures (to be approved by the SIIO or designee) to collect money from those who use Government telephone service to make unauthorized personal calls, consistent with FIRMR 201-21.602 (b). The Office of the NASA CFO/Comptroller is responsible for implementing policies and procedures to comply with FIRMR 201-21.602 and for assuring that those policies and procedures are followed.

21.603 Listening to or Recording Telephone Conversations. NMI 2530.1, *Interception or Recording of Telephone or Other Conversation*, prescribes current NASA policy concerning: the transcription, monitoring, interception, or recording of telephone or other conversations; the use of electronic, mechanical, or other devices to record such conversations; and the recording of proceedings of meetings or conferences sponsored by NASA or conducted at NASA facilities. The Office of General Counsel (Code GG) is responsible for promulgating Agency policies and procedures to effect compliance with FIRMR 201-21.603 and for assuring that those policies and procedures are followed.

If a HQS Office or Installation plans to listen to or to record telephone conversations pursuant to the authority of FIRMR 201-21.603 (c) (2), (3), or (4), the official in charge of the HQS Office or the Director of the Installation shall submit a written request—that is, request an exception to NMI 2530.1 (see paragraph 6)—to Code GG for review and concurrence. The official also shall provide the information prescribed in FIRMR 201-21.603 (d) (1). The Administrator or designee must approve the justification described in FIRMR 201-21.603 (d) (2).

The approved request will be forwarded to Code JT for delivery to GSA in accordance with FIRMR 201-21.603 (d) (1). This notification must be submitted not later than 30 days prior to the operational date. Code JT will notify the SIIO or SPIO, as appropriate, of the date of the submission to GSA and the date after which, if GSA fails to respond, operations may commence.

Each organization (HQS Office or Installation) authorized to conduct a surveillance operation shall review, at least biannually, the continuing need for each determination authorizing the listening-in or recording. The documentation to continue or terminate the operation shall be processed as above (including approval by the Administrator or designee for continuing surveillance only) and submitted to GSA in accordance with FIRMR 201-21.603 (d) (3).

21.604 Toll-free Telephone Services. Requests for toll-free telephone service shall be submitted by the SIIO through the SPIO to Code OS for concurrence. The request shall include the information prescribed in FIRMR 201-21.604 (b). Code OS will forward all requests to Code JT for delivery to GSA. SIIO's will be notified of GSA's approval by Code JT. Code JT will also provide Code OS a copy of GSA's approval and the notification to the SIIO.

SECTION 22—REVIEW AND EVALUATION

22.000 Scope of Section [reserved – TBD].

22.1 FEDERAL INFORMATION RESOURCES MANAGEMENT (IRM) REVIEW PROGRAM
[RESERVED – TBD]

22.100 Scope of Subsection [reserved – TBD].

22.101 General [reserved – TBD].

22.102 Policies [reserved – TBD].

22.103 Procedures [reserved – TBD].

22.2 INFORMATION RESOURCES PROCUREMENT AND MANAGEMENT REVIEW (IRPMR)
PROGRAM [RESERVED – TBD]

22.200 Scope of Subsection [reserved – TBD].

22.201 General [reserved – TBD].

22.202 Policies [reserved – TBD].

22.203 Procedures [reserved – TBD].

22.3 OBSOLESCENCE REVIEW

22.300 Scope of Subsection. This subsection prescribes additional policies and procedures for reviewing installed FIP resources for obsolescence.

22.301 General. See also FIRMR 201-39.602, 39.1003, 39.1404, 39.1503, and comparable subsections of this NHB regarding solicitations and contracts for outdated FIP resources.

22.302 Policy. Installations should replace existing outdated FIP equipment that no longer represents the most advantageous alternative for meeting their requirements.

No solicitation or contract shall require the delivery of outdated FIP equipment unless the DSO determines such is in the best interest of the Agency.

22.303 Procedures. SPIO's and SIO's are responsible for ensuring that existing FIP resources are routinely assessed for obsolescence. FIRMR Bulletin C-27 provides guidance. Paragraphs 9 and 10 of FIRMR Bulletin C-27 are directive upon the Agency.

SIO's shall implement written policies and procedures to institutionalize the routine conduct of obsolescence reviews of FIP resources. The results of the obsolescence reviews shall be readily available for IRM-related reviews conducted by HQS or other Government Agencies.

Each SIO shall annotate the annual Installation ITSP to identify those proposed acquisitions that will replace outdated FIP resources.

CO's are responsible (see FIRMR 201-39.1003) for ensuring that no solicitation is issued, contract awarded, or option exercised that requires the delivery of outdated FIP equipment unless the DSO determines that it is in the best interest of the Agency. The sponsoring organization shall certify that outdated FIP equipment is not being acquired or that a waiver will be sought. This certification shall be included in the FRDD (see Subsections 20.103-3 on page 20-14 and 20.203-1a3 on page 20-17).

SIO's or designees shall submit written justifications to support the delivery of outdated FIP equipment through the cognizant SPIO to the DSO for approval. The DSO's authority to approve requests may not be redelegated. All such requests shall be submitted to Code JT for action. Code JT is responsible for reviewing the requests and recommending disposition to the DSO. Code JT will transmit the DSO's disposition through the SPIO to the SIO. A copy of the request and approval shall be included in the permanent contract file.

SECTION 23—DISPOSITION

23.000 **Scope of Section.** This section identifies a pertinent NHB and prescribes additional procedures and responsibilities governing the disposition of FIP resources.

23.001 **General.** The Logistics, Aircraft, and Security Division (Code JI) is responsible for implementing policies and procedures to comply with FIRMR 201-23; it also has the functional management responsibility for the Agency's logistics program, including the disposition of FIP resources.

NHB 4300.1, *NASA Personal Property Disposal Manual*, applies to the disposition of FIP resources. See also letter dated February 1, 1989 (subject: Reporting Excess or Exchange/Sale ADPE to GSA) and letter dated September 10, 1989 (subject: Interim Procedures for Disposal of Commercially Available Software). In cases of conflict between these and the FIRMR, the FIRMR prevails.

Paragraphs 9 and 12 of FIRMR Bulletin C-2 are directive upon the Agency.

23.002 **Policies [reserved].**

23.003 **Procedures.** The Agency point of contact for managing the disposition of FIP equipment and software is the Manager, Warehousing and Disposal Program, Code JIE. Code JT is responsible for notifying GSA, at the address in FIRMR 201-23.003 (a), of the name, address, and telephone number of the point of contact. The Logistics, Aircraft, and Security Division (Code JI) shall advise Code JT promptly of any changes in this information so that Code JT can notify GSA.

Code JT shall review and concur in all requests to reassign outdated FIP equipment, prior to approval by the DSO. Code OS shall also be accorded the same opportunity if the FIP equipment supports telecommunications requirements.

In its review of APR's, GSA looks closely at all requests to reassign the FIP equipment scheduled for replacement. All such requests should be fully explained either in the FRDD or in the remarks section of the APR.

SECTION 24—GSA SERVICES AND ASSISTANCE

24.000 Scope of Section. This section prescribes additional procedures to implement the mandatory-for-use and mandatory-for-consideration services and assistance programs operated by GSA.

24.001 General. NASA shall use GSA's mandatory-for-use services unless a prior exception from GSA has been obtained. All requests for exceptions from mandatory-for-use services shall be submitted by the SIIIO, through the SPIIO, to the DSO for concurrence and delivery to GSA, unless otherwise indicated below.

See FIRMR Bulletins C-9 (nonmandatory services), C-15 (mandatory local telephone services), C-18 (mandatory FTS2000 services), and C-21 (mandatory or nonmandatory purchase of telephones and services [POTS]) for additional information. See also FIRMR Bulletin C-24 (nonmandatory requirements contract). Additional GSA aids on the procurement of information technologies include Multi-Use File for InterAgency News (MUFFIN) BBS, 300 or 1200 baud, (703) 557-2229, Information Resources Services Center (IRSC) BBS, 2400 baud, (202) 501-2014, GSA Acquisition Guides, and the GSA Reference Center. Copies of GSA's Acquisition Guide series can be obtained through Code JT.

Annually, Code JT will advise the Installations of Agency-unique mandatory-for-use and mandatory-for-consideration services and assistance programs. This will include a listing of NASA FIP resources requirements contracts—indefinite delivery/indefinite quantity (ID/IQ) contracts—available to the Installations, and the conditions under which they can or will be used.

24.1 GSA MANDATORY-FOR-USE PROGRAMS

24.100 Scope of Subsection. This subsection contains additional information regarding the mandatory-for-use services.

24.101 The Mandatory FTS2000 Network.

24.101-1 General. Paragraphs 11, 12, 14, and 16, of FIRMR Bulletin C-18, are directive upon the Agency. Relative to paragraph 14, this NHB delegates authority to Code O to appoint Designated Agency Representatives (DAR's) to request FTS2000 services from the network contractor, AT&T.

The mandatory provisions of FTS2000 are applicable to NASA contracts to the extent that NASA acquisitions require contractors to provide covered services to NASA.

When considering whether the exceptions in FIRMR 201-24.101-1 (b) are applicable to an acquisition, the following should be considered:

- Both FIRMR 201-24.101 (b) (1) and (2) must apply for an exception or interim exception.

- Relative to FIRM 201-24.101 (b) (1), GSA prefers granting interim exceptions to FTS2000 services since it intends to augment existing FTS2000 services to meet Agency needs. Accordingly, Agency requirements must be time-phased and correlated with the projected schedule under which FTS2000 will offer the services. Where there is no projection of service, an exception should be requested; if there is a projection, an interim exception should be requested. In the latter case, GSA will grant an exception only for that period of time when it is probable that FTS2000 will not provide the required services. Typically, even if an exception is granted, it will be limited in time, requiring a reassessment of the basis for the exception.
- Relative to FIRM 201-24.101 (b) (2), cost-effectiveness based on Agency savings alone will be inadequate to justify an exception. The analysis also must demonstrate that the cost effectiveness of FTS2000 would not be adversely impacted. Notwithstanding the parenthetical remark in FIRM 201-24.101-3 (b), based on experience, it is unlikely that this could be demonstrated to GSA's satisfaction without the close involvement and concurrence of GSA both in the analysis and in the preparation of the exception request.

24.101-2 Policies *[reserved]*.

24.101-3 Procedures. Any request for an interim exemption to FTS2000 services must be supported by a GSA approved "Long-Distance Telecommunications Plan to Transition to FTS2000 Network Services." This is a strategic-level plan to convert existing intercity telecommunications service to the FTS2000 network. At a minimum, the plan should identify the scope of the plan, the current long-distance telecommunications environment, future long-distance telecommunications requirements, a correlation of both the environment and future requirements to the current and proposed FTS2000 services, the approach and schedule to change services, and those services requiring an exception or an interim exception to FTS2000. (This plan may substitute for a *Request for an Exception to Use GSA Mandatory Telecommunications Services*, either local or intercity [see below], at GSA's discretion.) The plan shall be submitted by the SIO, through the cognizant SPIO, to Code OS, for review and approval, then forwarded to the DSO through Code JT for concurrence and delivery to GSA.

In the case of the Program Support Communications Network (PSCN) and Mission Operational Communications (NASCOM), these transition plans, if applicable, shall be initiated by MSFC and GSFC, respectively, approved by the respective SIO, submitted directly to Code OS for review and approval, then forwarded to the DSO through Code JT for concurrence and delivery to GSA.

Requested exceptions from GSA for FTS2000 and related mandatory telecommunications requirements from GSA shall comport with the above as well as the following, as appropriate. The requests shall be submitted over the SIO's signature. The request for an exception shall be approved by the SPIO for Code O, then forwarded to the DSO for concurrence and delivery to GSA. Exception requests must be enclosed with an APR if delegated procurement authority also is required. Exception requests can be submitted earlier than the APR, and should be, particularly if an interim exception is requested and GSA must approve the transition plan. However, no APR requiring an exception will be processed unless a request has been previously submitted and is under consideration by GSA, an

exception has already been granted by GSA, or the exception request accompanies the APR. Requests will be in the form shown in Exhibit 24-1 below.

Exhibit 24-1. *Preparing a Request to Use Other Than GSA-Mandated Telecommunication Services*

1. Executive Summary	Identify the services to be excepted and state whether you require an unlimited or interim exception. If you require an interim exception, state when it will end.
2. Requirements	Identify the Agency's (Program, institutional, Installation) current and future requirements and correlate them with GSA's current and future mandatory services. Demonstrate with a graph.
3. Rationale and Mission Impact	Summarize the reasons for your request, and include the effect on NASA's mission if the exception is not granted.

Before approving an interim exception, GSA will establish the date(s) the Agency must change the existing service(s) to the FTS2000 network.

CO's must note FIRMR 201-24.101-3 (d) and ensure that all renewal options exercised after September 30, 1991 to extend any contracts that provide intercity telecommunications services and facilities have the requisite exception or interim exception. This includes all new work modifications added to an existing contract after September 30, 1991.

Unless otherwise noted by GSA, exceptions to the use of FTS2000 services must be reassessed and requested again by the Installation every 3 years no later than the anniversary date of the existing GSA exception. Any re-requests must be submitted in sufficient time to ensure continuity of coverage. Interim exceptions will expire in accordance with the instructions received with them or as otherwise provided by GSA.

24.102 Consolidated Local Telecommunications Services. Paragraphs 10, 11, 12, and 13 of FIRMR Bulletin C-15 are directive upon the Agency. Relative to paragraph 10, if applicable to the Installation, an SIIO shall designate an individual to be that Installation's liaison with the GSA Zone Office. This individual and the SIIO are responsible for ensuring Installation compliance with both FIRMR 201-24.102 and the pertinent directive sections of FIRMR Bulletin C-15.

Requests to expand services shall be processed in accordance with paragraph 11, FIRMR Bulletin C-15. The request shall be submitted directly over the SIIO's signature to the GSA Zone Office. If the expansion request is denied, the SIIO shall submit a request for an exception to the address indicated in FIRMR 201-24.102 (c) (2). The exception request shall include, at a minimum,

- a copy of the request for expanded services sent to the GSA Zone Office;
- the denial from the GSA Zone Office; and
- any additional information clarifying the Installation's requirements and request for exception.

It should be noted that even if GSA grants the exception, a DPA is needed. Accordingly, the Installation shall determine whether it has the requisite delegated procurement authority to acquire these services. If not, a specific acquisition DPA must be sought.

Unless otherwise noted by GSA, exceptions to the use of consolidated local telecommunications services will be reassessed and requested again by the Installation every 5 years, no later than the anniversary date of the existing GSA exception. These re-requests should be submitted in sufficient time to ensure continuity of coverage.

— NOTE —

If NASA intends to acquire telecommunications switching facilities or services at building locations where another agency already has such facilities and services, GSA must approve the acquisition.

See part of FIRMR 201-20.305-1 (a) (1) (i) after the semicolon (;). The APR shall include a Justification for More Than One Agency to Provide Switching Facilities or Services at Building Locations. At a minimum, this justification shall address the following:

- the location of the building(s);
- the other agency(ies), including the name, address, and phone number of a point of contact;
- a brief description of the existing facilities and services;
- a brief description of the new requirements; and
- an explanation as to why the existing facilities and services cannot be used or augmented to satisfy NASA's requirements.

24.103 [FIRMR reserved].

24.104 Purchase of Telephones and Services (POTS) Program. POTS contracts cover the purchase, installation, maintenance, repair, removal, and relocation of new and used telephone equipment. At some locations GSA has established mandatory POTS Contracts with a GSA-Consolidated local telecommunications service (see section 24.102 on page 24-3 and related FIRMR subpart). POTS contracts are optional at other locations in accordance with the terms of the contracts. All 1990 and future POTS contracts will be optional for use at all locations, including GSA-consolidated local telecommunication service locations.

FIRMR Bulletin C-21 provides further guidance on using POTS contracts.

24.105 [FIRMR reserved].

24.106 National Security and Emergency Preparedness (NSEP). See NHB 2410.9, *NASA Automated Information Security Handbook*. Paragraph 10 of FIRMR Bulletin C-20 is directive upon the Agency.

24.107 Financial Management Systems Software (FMSS) Multiple Awards Schedule (MAS) Contracts Program [reserved].

24.2 GSA MANDATORY-FOR-CONSIDERATION PROGRAMS

24.200 Scope of Subsection.

24.201 Federal Software Exchange (FSE) Program. Each analysis of alternatives—that is, FRDD; see also Subsection 20.203-1b1 (b) (1)—for requirements for FIP software exceeding \$1 million shall do one of the following:

- certify that the FSE Center has been contacted or the FSE Catalog has been reviewed and that—
 - there is no common-use software available that meets the Installation's requirements; or
 - the use of the available common-use software would not be the most advantageous alternative to the Government;

or

- explain the reason(s) why the use of common-use software would not be a viable alternative, regardless of availability.

24.202 Excess FIP Equipment Program. Installations shall review the following 2 items to determine whether there is FIP equipment that would satisfy their requirement as the most advantageous alternative to the Government:

- GSA's current Excess Equipment Availability Letter (EEAL), which is for acquisitions of individual FIP equipment with a value exceeding \$1 million; and
- NASA's equivalent (for acquisition of individual FIP equipment with a value exceeding \$25,000).

Analysis of alternatives—that is, FRDD; see also Subsection 20.203-1b1 (b) (2)—will certify that the EEAL and NASA's equivalent have been reviewed, as appropriate. These certifications will indicate whether or not FIP equipment was available and, if available but inadequate to meet the Installation's requirements, the reason(s) for this determination.

24.203 Telecommunications Assistance Programs and Services.

24.203-1 Federal Secure Telephone Service (FSTS). See NHB 2410.9, *NASA Automated Information Security Handbook*. See also FIRMR Bulletin C-19.

24.203-2 Information Systems Security (INFOSEC). See NHB 2410.9, *NASA Automated Information Security Handbook*. See also FIRMR Bulletin C-19.

ENCLOSURE C-1

NASA AGENCY DELEGATION AUTHORITY

The following 3 pages contain a memo, received on March 6, 1991, from Francis A. McDonough, Assistant Commissioner for Federal Information Resources Management, regarding the reduction in NASA's contracting authority for FIP resources without prior approval of GSA.



General Services Administration
Information Resources Management Service
Washington, DC 20405



MAR -6 1991

Dr. C. Howard Robins, Jr.
Associate Administrator for
Management
National Aeronautics and Space
Administration
Washington, DC 20546

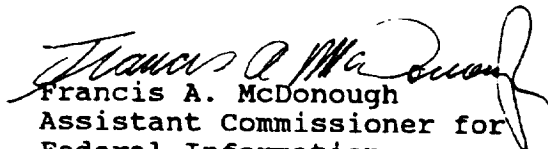
Dear Dr. Robins:

Based on the findings of the Information Resources Procurement and Management Review (IR/PMR) recently conducted by the General Services Administration (GSA) at the National Aeronautics and Space Administration (NASA), GSA has determined that a reduction in NASA's authority to contract for Federal information processing (FIP) resources without prior approval of GSA is necessary.

The new delegations for FIP resources are described in the enclosure. This action is based on NASA's performance in acquiring, managing, and using FIP resources in accordance with FIRMR policies and procedures. This action is effective on April 28, 1991. If you have any questions regarding this delegation, please have a member of your staff contact Kenneth Touloumes at 501-1126 and reference GSA case number KMA-91-AD1.

We look forward to working with NASA in the future.

Sincerely,


Francis A. McDonough
Assistant Commissioner for
Federal Information
Resources Management

Enclosure

Specific Agency Delegations

The following regulatory delegations are hereby granted to NASA. This delegation, KMA-91-AD1, applies to all solicitations on or after April 28, 1991.

- (a) NASA may contract for the following FIP resources without prior approval of GSA:
 - (1) FIP equipment, software, services, and support services when the dollar value of any individual type resources including all optional quantities and periods over the life of the contract, does not exceed \$2,000,000 (\$200,000 for a specific make and model specification or for requirements available from only one responsible source) and either paragraph (a)(1)(i), (a)(1)(ii), or (a)(1)(iii) following applies.
 - (i) The acquisition does not include telecommunications requirements within the scope of FTS2000 services or GSA's Consolidated Local Telecommunications Services Program; or requirements for telecommunications facilities or services at a location where the contract would result in more than one agency acquiring a telecommunications switching function at that location.
 - (ii) NASA has an exception to the use of FTS2000 services or GSA's Consolidated Local Telecommunications Services Program.
 - (iii) The acquisition includes telecommunications requirements within the scope of FTS2000 services or GSA's Consolidated Local Telecommunications Services Program, and the telecommunications facilities or services are acquired through the use of FTS2000 or GSA's Consolidated Local Telecommunications Services Program.
 - (2) FIP related supplies regardless of cost.
 - (3) Financial management systems software and services and support related to the implementation of such software through the use of the GSA Financial Management Systems Software (FMSS) mandatory multiple awards schedule (MAS) contracts program.

- 2 -

- (b) When FIP equipment, software, services, and support services (or any combination thereof) are combined and acquired under a single contract action, a specific acquisition delegation shall be required when the dollar value of either the equipment, software, services, or support services exceeds the applicable dollar threshold.
- (c) NASA may acquire telecommunications services through the use of FTS2000 or GSA's Consolidated Local Telecommunications Services Program without obtaining a DPA from GSA.

NASA Form 1647

FEDERAL INFORMATION PROCESSING (FIP) RESOURCE DECISION DOCUMENT (FRDD)

August 1991



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SECTION 1

NASA Form 1647 (Aug 91)

FIP RESOURCE DECISION DOCUMENT (FRDD)

Notes:

1. The NASA Form 1647 may be reproduced locally for NASA Center and Installation use.
2. See NHB 2410.1E for restrictions concerning use of Overprinted NASA Form 1647.

FEDERAL INFORMATION PROCESSING (FIP) RESOURCE DECISION DOCUMENT—FRDD

Check all that apply:

HARDWARE ☐
(Includes Telecommunications)

SOFTWARE ☐

SUPPORT SERVICES ☐
(Includes Maintenance)

COMMERCIAL
SERVICES ☐

CONSUMABLE
SUPPLIES ☐

FRDD IDENTIFICATION

1. FRDD IDENTIFICATION
NUMBERS (Originator) _____ (Center) _____

2. DATE FRDD
STARTED: _____

3. TITLE _____

4. NASA
ORIGINATOR _____

5. PHONE _____

6. OFFICE
MAIL CODE _____

7. AUTHOR _____

8. PHONE _____

9. MAIL CODE _____

CHARACTERISTICS

1. IS THIS ACQUISITION (Check one block only)

- ☐ an INITIAL acquisition (no FIP resources currently exist)?
- ☐ for FIP Peripherals only?
- ☐ a Purchase Option under a Lease Agreement?
- ☐ Other? { If Checked AND the acquisition is for Hardware, Software, or Commercial Services, attach a Conversion Study.

2. IS THIS A COMPATIBILITY-LIMITED ACQUISITION?

- ☐ YES. If Checked AND the acquisition is for Hardware, Software, or Commercial Services, a Conversion Study or an valid exception must be attached.
- ☐ NO
- ☐ N/A

3. IS THIS ACQUISITION

- ☐ Non-Competitive? (If Checked, attach JOFOC or Contractor Justification.)
- ☐ Competitive?
- ☐ TBD? (See Caution Note in the Instructions.)

5. PROGRAM(s) TO BE SUPPORTED

6. MAJOR MILESTONES

Solicitation: _____ Operational: _____

7. ACQUISITION METHOD (Check all that apply)

☐ Purchase ☐ Straight Lease ☐ Other (list): _____ ☐ Will be determined at a later date

To be procured by:

NASA ☐

Contractor ☐

If Contractor, Name: _____

Contract Number: _____

If furnished by a mission / support contractor, indicate if this acquisition can feasibly be severed. YES ____ (Attach explanation.) NO ____ (Check applicable blocks below to indicate the rationale.)

Schedule _____

Unique expertise _____

Integral to contractor's work effort _____

Other ____ (Attach explanation.)

8. DESCRIPTION OF THE ACQUISITION:

9. ATTACHMENTS: Conversion Study: YES ____ N/A ____ JOFOC (or Contractor Justification): YES ____ N/A ____ TBD ____ Analysis of Alternatives/Cost Spreadsheets: YES ____ TBD ____

RECORD OF APPROVALS

APPROVING OFFICIAL	TYPED or PRINTED NAME	SIGNATURE	DATE
ORIGINATOR/TECHNICAL TITLE:			
INFORMATION RESOURCES MANAGEMENT			
PROCUREMENT			
SENIOR INSTALLATION INFORMATION RESOURCES MANAGEMENT OFFICIAL (SIO)			

II. REQUIREMENTS ANALYSIS

1. Estimated System/Item/Contract Life: _____ years.
2. Are there any disabled employees in your organization that require access to the FIP Resources in this FRDD? YES ____ NO ____
If yes, Does this acquisition comply with NASA/Local Policies regarding provision of access to FIP Resources for individuals with disabilities? YES ____ NO ____ (attach an explanation for a NO answer.)
3. Will this acquisition create or maintain the permanent electronic or paper/film records? YES ____ NO ____ If YES, does this acquisition comply with NASA and local Records Management Regulations? YES ____ NO ____ (attach an explanation for a NO answer.)
4. Indicate below the types of tasks and applications associated with the acquisition. Check all that apply.

- | | |
|---|--|
| <input type="checkbox"/> Science and Engineering Support | <input type="checkbox"/> Control (Mission, Launch, or Test) |
| <input type="checkbox"/> Administrative and/or Business Support | <input type="checkbox"/> Simulation or Artificial Intelligence Support |
| <input type="checkbox"/> Data (acquisition, reduction, or communication) / Networking | <input type="checkbox"/> Graphics / Image Processing |
| <input type="checkbox"/> Other: _____ | |
| <input type="checkbox"/> Other: _____ | |
| <input type="checkbox"/> Other: _____ | |
| <input type="checkbox"/> Other: _____ | |

5. ADDRESS each of the following in the space provided (attach additional pages only if necessary):

- a. Workload requirements, functions to be performed, information needs, and any other rationale (the WHY) for the requirement:

- b. Projected growth:

c. Existing deficiencies or shortfall:

d. Facility impact:

6. SECURITY

- a. **CLASSIFIED** Data processed? YES ___ NO ___ IF YES, list Date/Title of Designated Approval Authority (DAA) ACCREDITATION Document: _____
- b. **SENSITIVITY** Level of the system? _____ (0,1,2,3)
List Date/Title of the SENSITIVE APPLICATION CERTIFICATION _____
(as appropriate):
- c. **RISK ANALYSIS Reference?**
List Date/Title of DPI RISK ASSESSMENT: _____
- d. **AIS SECURITY MANUAL or PLAN** : Does this Acquisition comply with the local Automated Information System (AIS) SECURITY MANUAL or PLAN? YES ___ NO ___ (Attach an explanation for a NO answer.)

III. ANALYSIS OF ALTERNATIVES—Part 1

1. The completed Analysis of Alternatives (Part 2, Pages 5 & 6) is attached to this FRDD? YES ___ NO ___ .
2. If 1 above is NO, will the Analysis of Alternatives (Part 2) be completed and placed in the Contract File prior to any contracting actions? YES ___ NO ___ (Attach an explanation for a NO answer.)

IV. IMPLEMENTATION PLAN

1. LONG RANGE ACQUISITION PLANNING Is this Acquisition part of a long range effort involving a series of acquisitions of similar items? YES _____ (describe below.) NO _____

2. ESTIMATED SCHEDULE:

1. FRDD Approved: _____ 2. Analysis of AIs Completed: _____ 3. Solicitation Issued: _____ 4. Contract Award: _____
 5. Resource Delivered: _____ 6. Resource Installed: _____ 7. Resource Operational: _____
 Other: _____ Other: _____ Other: _____

3. ESTIMATED CONTRACT COSTS AND FUNDING DATA

ACQUISITION ITEM						\$K for:	LINE	PORTION (\$K) OF LINE TOTAL THAT IS:		
	FY _____	FY _____	FY _____	FY _____	FY _____	③ TOTALS	④ COMPET.	⑤ NON-COMPET.	⑥ COMPAT. LIMITED	
CONTRACT COSTS	HARDWARE									
	SOFTWARE									
	SUPPORT SERVICES									
	COMMERCIAL SERVICES									
	CONSUMABLE SUPPLIES									
① ALL FIP RESOURCES—TOTAL										
NON-FIP RESOURCES										
FUNDING	UPN NUMBER(S)—FIP Resources Only									
② ALL UPNS—TOTAL										

NOTES:

- Total ① must equal Total ②
- Total ③ must equal the sum of ④ ⑤ and ⑥ for each line.
- If necessary, use Page 7 to document Estimated Costs and Funding Data for periods longer than 5 Fiscal Years.

4. ITSP REFERENCE

Is Acquisition Item in ITSP? YES _____ NO _____ IF YES, List ITSP System ID: _____

IF YES, provide references: Text Paragraph: _____ Exhibit 2—Page/Line: _____

IF NOT in the ITSP AND IF the acquisition COST is greater than or equal to \$250,000, attach an explanation.

5. APPLICABLE FIPS NUMBERS

List the Numbers of all applicable FIPS that will be followed and all applicable FIPS that will not be followed (attach waivers or requests for waivers):

Applicable and followed:

Applicable/Not Followed (attach waivers or waiver requests):

REMARKS

FRDD ID# _____

FIP RESOURCE DECISION DOCUMENT

(CONTINUED)

Answer questions between shaded lines ONLY if the Analysis of Alternatives is submitted after the FRDD has been approved. Otherwise begin with the Analysis of Alternatives Section below.

1. FRDD IDENTIFICATION NUMBERS (Originator) _____ (Installation) _____ 2. DATE FRDD STARTED: _____

3. TITLE _____

4. NASA ORIGINATOR _____ 5. PHONE _____ 6. OFFICE MAIL CODE _____

7. AUTHOR _____ 8. PHONE _____ 9. MAIL CODE _____

The Originator certifies that:

1. The Original FRDD has not changed significantly. (Note: If the circumstances concerning the original FRDD have changed significantly, the original FRDD must be amended or cancelled.)
2. The following table provides original cost data for the FRDD, costs in this acquisition, and cumulative amounts spent to date:

Original FRDD Authorization

Cumulative for FRDD

RESOURCE TYPE	ORIGINAL FRDD LINE TOTALS	PORTION(\$) OF LINE TOTAL THAT IS:			(ACTUALS) TOTAL SPENT ON FRDD (To Date)	EST. TOTAL ON THIS ATTACH.	ACTUAL AMT. plus EST. AMT this ATTACH.	PORTION(\$) OF ⑦ THAT IS:		
		COMPET.	NON-COMPET.	COMPAT. LIMITED				COMPET.	NON-COMPET.	COMPAT. LIMITED
HARDWARE										
SOFTWARE										
SUPPORT SERV.										
COMMERCIAL SERV.										
CONSUM. SUPPLIES										

① = ② + ③ + ④ | ⑤ + ⑥ = ⑦ | ⑦ = ⑧ + ⑨ + ⑩

Note: None of the amounts on lines in column 7 may exceed the authorization amounts on the same lines in column 1. Otherwise, an amended FRDD must be submitted.

RECORD OF COORDINATION

ORIGINATING OFFICIAL	TYPED or PRINTED NAME	SIGNATURE	DATE
ORIGINATOR/TECHNICAL TITLE:			

COORDINATION & FILE COPIES

INFORMATION RESOURCES MANAGEMENT OFFICE

PROCUREMENT OFFICE

SENIOR INSTALLATION INFORMATION RESOURCES MANAGEMENT OFFICIAL (SIIO) OFFICE

INITIALS / DATE: _____ / _____ / _____

Answer questions between shaded lines ONLY if the Analysis of Alternatives is submitted after the FRDD has been approved. Otherwise begin with the Analysis of Alternatives Section below.

ANALYSIS OF ALTERNATIVES—Part 2

1. DESCRIPTION OF ITEM(s): List below or in an attachment, OR Check this space _____ if the description in Section I—Executive Summary applies to this Analysis of Alternatives.

2. MARKET RESEARCH RESULTS:

- a. List the Products/Vendors capable of meeting requirements:

b. If only one product / vendor was determined to meet the requirements, attach a Justification for Other than Full and Open Competition (JOFOC) or Contractor Justification which indicates how that determination was made. The Justification should also present what research was done, what products/vendors were reviewed, and why potential alternative products/vendors would not work. JOFOC (or other Justification) Attached? YES _____ submitted with original FRDD _____ N/A _____

- c. Does this acquisition have any COMPATIBILITY LIMITATIONS? YES _____ NO _____
If YES, was CONVERSION STUDY submitted with original FRDD? _____ Attached now? _____ or Not Prepared? _____ (If "Not Prepared?", explain in an attachment.)

3. SPECIFIC ANALYSIS OF ALTERNATIVES (Answer the feasibility question for each alternative in the FIP Resource Group that is applicable to the FRDD: Is the alternative feasible?
For all Feasible alternatives, calculate its Total Cost (present value) & attach the spreadsheet.)

TECHNICAL ALTERNATIVES	FEASIBLE? (Note 1)	TOTAL COST of ALTERNATIVE (Notes 2 & 3)	NOTES
HARDWARE COMPONENTs ONLY GSA/NASA Excess FIP Equipment Program Agency and/or Installation/Center Consolidated Contracts Share Excess Federal DP Capacity Use Existing Hardware Contract for Commercial Services Purchase New/Used FIP Hardware Lease New/Used FIP Hardware Other: _____ Other: _____			1—Alternative meets all requirements and is realistic. 2—Calculate the cost (present value) of the alternative and attach either the completed spreadsheet or other complete analysis. 3—Select lowest Cost (Present Value) as alternative to be used. If lowest cost alternative is not used, explain in Question #5: Rationale for Selection of Alternative, at the bottom of this page. * GSA MANDATORY FOR USE PROGRAM These programs / alternatives must be used if they are feasible (meet requirements and are realistic). If not used under these circumstances, a waiver may be required. See the local IRM Office or the SIO for guidance.
SOFTWARE COMPONENTs ONLY Financial Management Systems Software Excess FIP Software (Federal or NASA Programs) Agency and/or Installation/Center Consolidated Contracts Redesign Existing Software Develop Software In-house Purchase Software Lease Software Other: _____			
TELECOMMUNICATIONS COMPONENTs ONLY GSA FTS2000 (long-distance service) * GSA Consolidated Local Telecommunications * GSA POTS Program—Purchase of Telephones and Services * National Security/Emergency Preparedness (NSEP) * Comm Security (COMSEC, FSTS, INFOSEC, TEMPEST) GSA Technical Assistance Program Share Local Telecommunications Resources Contract for New or Additional Resources			
SUPPORT SERVICES COMPONENTs ONLY GSA Regional Contract Services GSA Office of Technical Assistance Contract for Support Services Contract for Maintenance Services			
COMMERCIAL SERVICES COMPONENTs ONLY GSA Regional Contract Services Contract for Commercial Services			
CONSUMABLE SUPPLIES and OTHER OPTIONS Purchase Supplies Other: _____ Other: _____			

4. ALTERNATIVE(s) SELECTED: _____

5. RATIONALE FOR SELECTION OF ALTERNATIVE

- ☐ Lowest Total Cost
☐ GSA Mandatory for Use
☐ Other (explain)

OPTIONAL TABLE FOR COST DATA

ACQUISITION ITEM	\$K for:												LINE TOTALS	PORTION(\$K) OF LINE TOTAL THAT IS:		
	FY	FY	FY	FY	FY	FY	FY	FY	FY	FY	FY	FY		COMPET.	NON-COMPET.	COMPAR. LIMITED
HARDWARE																
SOFTWARE																
COMMERCIAL SERVICES																
SUPPORT SERVICES																
CONSUMABLE SUPPLIES																
FIP RESOURCES—SUM																
NON-FIP RESOURCES—TOTAL																
<p>UPN NUMBER(s) <u>FIP Resources Only</u></p>																
<p>NOTES:</p> <p>Total ① must equal Total ②</p> <p>Total ③ must equal the sum of ① ⑤ and ⑥ for each line.</p>																
<p>② ALL UPNS—TOTAL</p>																

SECTION 2

NASA FORM 1647 COMPLETION INSTRUCTIONS

Notes:

1. Instructions for completion of the NASA Form 1647 may be reproduced locally for NASA Center and Installation use.
2. See NHB 2410.1E for restrictions concerning local changes to these instructions.

NASA Form 1647 (Aug 91)
FIP RESOURCE DECISION DOCUMENT (FRDD)

—
FORM COMPLETION INSTRUCTIONS

GENERAL

1. Check the appropriate Block at the top of the Form to identify the FIP Resource(s) types being documented by this FRDD.
Note: FIP Resource Maintenance is part of FIP Support Services.
2. If the FRDD is being prepared for a system or integrated acquisition (i.e., an FRDD for more than one FIP component such as a hardware, software, and maintenance acquisition), answer the questions on the FRDD Form for each of the components. For example, while preparing the Section II—Requirements Analysis, if there are any different deficiencies for the hardware and software components, ensure that ALL of the deficiencies are documented. Further, while preparing the Section III—Analysis of Alternatives, investigate each of the candidate alternatives in the each of the FIP Resource groups that apply to the items being acquired. In this instance, all of the alternatives for hardware, software, and maintenance would have to be investigated and documented by the FRDD writer.
3. Finally, in all FRDD, answer the questions for all of the items that are being documented in the FRDD. As an example, if the specific acquisition involves a group of acquisition items, some of which will be acquired competitively and some non-competitively, answer the FRDD questions that apply to both types of items (i.e., in the FRDD, indicate that the acquisition will be both Competitive and Non-Competitive). In these situations, ensure that an adequate explanation is presented in the FRDD for such multiple answers to questions.
4. Contact the local IRM Office or the Senior Installation IRM Official (SIIO) about any questions or to obtain additional reference documents.

FRDD IDENTIFICATION

1. FRDD IDENTIFICATION NUMBERS

ORIGINATOR: Enter the Originator's identification number using the following format:

YYYY-CCCC-XXXX where

YYYY is the four digit calendar year (e.g., 1991) of the current date;

CCCC is the Originator's NASA organization code (e.g., XT12, G146, etc.);

and

XXXX is a four digit number assigned by the originating organization to identify this FRDD.

Example: 1991-PS21-0006. Use the Identification Number (FRDD ID#) on ALL attachments and continuation pages to the FRDD.

INSTALLATION: Optional, for Center or Installation use only.

2. DATE FRDD STARTED

Enter the date that the decision was made to prepare this FRDD.

3. TITLE

Enter a short title for the acquisition. This title should concisely describe what the acquisition involves. Examples include: Space Station Programming Support; Engineering Workstations Acquisition; Mainframe Software Upgrades; Micro-computer Maintenance Contract Renewal, etc.

4. NASA ORIGINATOR

Enter the name of the NASA individual originating the acquisition. Contractors must enter the name of the NASA employee with oversight responsibility (e.g., the Contracting Officer's Technical Representative—COTR or his representative).

5. PHONE

Enter the NASA Originator's phone number.

6. OFFICE MAIL CODE

Enter the Originator's NASA mail code.

7. AUTHOR

Enter the name of the individual (either Contractor or NASA employee) who wrote the FRDD. This individual will be the primary point of contact for all technical questions concerning the acquisition.

8. PHONE

Enter the Author's phone number.

9. MAIL CODE

Enter the Author's mail code.

SECTION I—EXECUTIVE SUMMARY

Answer the following questions by checking the appropriate blocks on the FRDD.

1. IS THIS ACQUISITION:

An Initial acquisition (no FIP Resources currently exist)?

An example of an initial acquisition is a mainframe computer (or local area network—LAN) acquisition that will automate an existing process that lacks automation or FIP Resources. A new Commercial time sharing Service also would qualify as an initial acquisition.

For FIP Peripherals only?

Peripherals include such FIP Hardware items as disk drives, printers, tape units, and optical disk drives, etc., on existing computers, workstations, or LANs.

A Purchase Option under a Lease Agreement?

If this acquisition will exercise a purchase option under an existing lease agreement, check this block. This response requires an already existing lease agreement (contract), which has a purchase option in the contract.

Other?

If this acquisition is NOT an initial acquisition, is NOT for hardware peripherals, and is NOT a purchase option for an existing lease, check the box marked "Other?". Typical "Other?" examples include: addition of workstations to an existing network; upgrading of software versions; replacement of mainframe system; and an acquisition for renewal of FIP services, FIP support services (including maintenance), or FIP supplies contracts. If the acquisition involves hardware, software, or services (e.g., time sharing) and the "Other?" box is checked, a Conversion Study must be attached to the FRDD. Conversion costs include direct costs of converting software and data to another hardware architecture, as well as other expenses directly related to the conversion such as training, spare parts inventory, delays to schedule, etc. Local policies will dictate the specific documentation requirements for a conversion study in support of a form-based FRDD. See the Senior Installation IRM Official (SIIO) or local IRM Office for more information on this topic.

2. IS THIS A COMPATIBILITY-LIMITED ACQUISITION?

"Compatibility-limited" means that the items being procured must be compatible with existing FIP Resources, usually because of the value of an existing investment in equipment, software, or data. Most "brand name or equal" requirements are included in this category. Note: If the acquisition is for a FIP peripheral or is a purchase option under an existing lease agreement check the box titled N/A regardless of compatibility limitations.

If the acquisition involves compatibility limitations, check the box titled YES. Detailed justification (in the form of a conversion study) for all compatibility limitations must be attached to this FRDD. In certain rare instances, a separate conversion study may not be required for the acquisition (e.g., because there is a valid conversion study already on file). If a conversion study is not required because of such circumstances (valid conversion study already on file), provide an attachment titled: "Conversion Study" in which you state why a completed conversion study is not required and in which you cite the appropriate authority. See your local SIIO or IRM Office for guidance.

If the acquisition does not have any compatibility limitations, check the box titled NO.

If the acquisition is for a FIP peripheral or is a purchase option under an existing lease agreement check the box titled N/A.

3. IS THIS ACQUISITION NON-COMPETITIVE, COMPETITIVE OR TBD?

A non-competitive acquisition is one in which full and open competition is not possible for some or all of the FIP Resources being procured. This is usually because only one product (or product line) will satisfy originator requirements or there is only one responsible source. "Specific make and model" procurements are included in this category. "Compatibility-limited" acquisitions are included in this category when the compatibility limitations are such that only one product or product line will satisfy originator requirements. A Justification for Other than Full and Open Competition (JOFOC) or Contractor Justification must be attached to the FRDD for all items being acquired on a non-competitive basis. See the local NASA Procurement Office for details on the format and content requirements for a JOFOC. If the justifications will be provided at a later date as part of the Analysis of Alternatives, mark the block titled "To Be Determined (TBD)".

CAUTION: "TBD" allows the Analysis of Alternatives and JOFOCs/Other Justifications to be submitted at a later date closer to the actual procurement activities. This authorization to separate the FRDD into two (or more) submissions allows the FRDD to become a planning document that can be prepared and approved well in advance of the actual acquisition. However, any contracting actions related to the actual procurement ARE NOT ALLOWED until the Analysis of Alternatives and appropriate JOFOCs/Contractor Justifications, as applicable, are completed and coordinated with the appropriate cognizant offices and made part of the contract file for the acquisition. Also see further cautions in Note 2, Section IV—Implementation Plan.

4. ESTIMATED COST DATA

Copy the columns titled *LINE TOTALS* and *PORTION (\$K) OF LINE TOTAL THAT IS:* from the Estimated Contract Costs portion of the Estimated Contract Costs and Funding Data Table in Section IV—Implementation Plan and insert into the appropriate FIP Resource cells in this Table.

5. PROGRAM(s) TO BE SUPPORTED

List all major NASA/Center Programs that will be supported by this acquisition. If the list is too long for the space provided, attach the list to the FRDD.

6. MAJOR MILESTONES

Copy the solicitation and operational dates (Questions 3 and 7) from the Estimated Schedule in Section IV—Implementation Plan into this section.

7. ACQUISITION METHOD

Check the appropriate acquisition method block. If an acquisition option other than Purchase or Straight Lease will be used (i.e., Lease with Option to Purchase, Lease to Ownership, etc.), list the specific acquisition option on the line titled "Other (list)". If the specific acquisition method will be deferred until a later date and documented in a separate submission of the Analysis of Alternatives, mark the block titled: 'Will be determined at a later date.'

Indicate whether the acquisition item(s) will be procured by the local NASA procurement office or by a contractor. If the equipment will be furnished by a contractor, identify both the contractor's name and the contract number.

If the FIP Resources will be procured by a mission / support contractor on an existing contract, the FRDD must address and determine if this FIP-related acquisition can reasonably be severed from the contractor's work and conducted as a separate acquisition. Indicate the answer to this issue in the appropriate blank. If the answer is YES (the potential for severing exists), then indicate in an attachment why the acquisition is not being severed. If the answer is NO (the potential for severing does not exist), then indicate why the acquisition was not severed by checking the appropriate blocks on the form. If the answer is OTHER, attach an explanation.

8. DESCRIPTION OF THE ACQUISITION

Briefly describe the FIP Resources being procured. As applicable, list the items needed with descriptions such as: CPU size and type, Input/Output (I/O) peripherals, memory, word size, systems and applications software, communications, any special site

preparation requirements, services required, estimated programmer staff requirements, number of items being maintained, etc. Do not use make and model references unless the acquisition is for specific make and model or brand name or equal resources. Indicate maintenance requirements for ALL hardware and/or software acquisitions. If maintenance will be performed under a different contract, indicate who will do the maintenance. If the FRDD includes both competitive and non-competitive components, indicate acquisition method for each item. If the acquisition involves too many items to insert into this block, a separate list may be attached to the FRDD. Finally, if the acquisition involves resources that are "brand name or equal," provide salient features for each such item in this description. See your local Procurement Office for guidance and details on salient features.

9. ATTACHMENTS

Answer whether a Conversion Study, JOFOC(s), and/or Analysis of Alternatives/Cost Spreadsheets are attached to the FRDD. Identify each attachment to the FRDD with the FRDD ID#.

RECORD OF APPROVALS

RECORD OF APPROVALS

After completing the FIP Resource Decision Document (FRDD), obtain the following approvals:

- **ORIGINATOR / TECHNICAL:** Approving Official at the Originating Office's DIRECTORATE or OFFICE level. This Official will be the Director or Manager (or a Designee). Insert the title of the Approving Official in the space after the word "TITLE" on the second line of this block.
- **INFORMATION RESOURCES MANAGEMENT (IRM):** Designated Approving / Coordinating Official in the IRM Organization responsible for supporting the Senior Installation IRM Official (SIIO).
- **PROCUREMENT:** Local procurement manager for FIP resource procurements.
- **SENIOR INSTALLATION IRM OFFICIAL (SIIO):** SIIO or Designee (depending on dollar-level of the FRDD).

Note: Local Center/Installation policy will dictate the approval and coordination/concurrence process (to include the local Legal Office) for FRDD. The specific approving officials will generally be a function of FRDD Cost and method of acquisition.

SECTION II—REQUIREMENTS ANALYSIS

Answer the following questions:

1. WHAT IS THE ESTIMATED SYSTEM LIFE FOR THE ACQUISITION?

Enter the estimated system life (in years) for the acquisition. This estimate must be based on the period that the resources will be used at NASA. Consider the rate at which technology is expected to advance and the probability of continued availability of support items such as maintenance, spare parts, etc. For services and support services, system life is the performance period of the contract, including all options.

2. ARE THERE ANY DISABLED EMPLOYEES IN YOUR ORGANIZATION THAT REQUIRE ACCESS TO FIP RESOURCES?

The FRDD must identify requirements for extending office automation technology access to disabled employees, if any. Enter YES or NO to the Question concerning existence of any disabled employees in your organization that will require access to the FIP Resource(s) in this FRDD. If there are any such disabled employees in your organization, enter your answer to compliance with both local and Agency policies regarding access to FIP Resources by the disabled. If this FRDD does not meet both agency and local policies regarding such access by disabled employees, attach an explanation. See local IRM Office or the SIIO for further information concerning programs for disabled employees.

3. WILL THIS ACQUISITION BE USED TO CREATE OR MAINTAIN PERMANENT ELECTRONIC OR PAPER/FILM RECORDS?

Enter your answer to the Question concerning the creation and maintenance of permanent electronic or paper/film records. In the context of a FIP Resource acquisition, records include all books, papers, maps, photographs, machine readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the United States Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the informational value of the data in them. Library and museum material made or acquired and preserved solely for reference or exhibition purposes, extra copies of documents preserved only for convenience of reference, stocks of publications and of processed documents, and copies (such as computer printouts for whatever purpose) are not permanent records and are not included. NASA has records management regulations dealing with such considerations as: agency records retention and final disposition (including archiving) requirements, the integration of electronic records with other agency records, safeguards against unauthorized use or destruction of records; the need for forms and their production in accordance with agency/center forms management programs; the reproduction of reports subject to agency reports control program; and privacy act requirements.

If the answer to the use Question above is YES, indicate whether this acquisition complies with regulations (FIRMR, NHB 1440.6, and other local instructions and guidance) concerning Records Management. See your local Records Management Official or the IRM Office for further instructions. If this FRDD does not comply with both agency and local regulations regarding records management, attach an explanation.

4. TASKS AND APPLICATIONS

Use the check list on the FRDD to show all the types of tasks and applications that will be performed and/or supported by the acquisition. Check all that apply to the acquisition. Use the "Other:" lines to insert tasks/applications that are not included in the check list.

5. ADDRESS THE FOLLOWING:

Using the requirements in the paragraphs below, present the rationale (the reason WHY) for the requirement. Do not simply say the requirement is for "hardware items a, b, c," (i.e., the WHAT). Instead, provide the justification and/or need that generates

the necessity for the specific items of equipment as described in the Description portion of Section I—Executive Summary. As appropriate, address the specific considerations described in the paragraphs below.

a. Workload requirements, functions to be performed, information needs, and any other rationale (the WHY) for the requirement:

As part of the description of requirements, include the major applications or tasks to be supported or performed. Identify appropriate users, functions performed, work load, and other aspects of the system. As appropriate, describe the organization's information requirements using such factors as: information that is being received in the organization; information that is needed but is not available; sources for the needed information; information outputs and relationships; the need to validate, maintain or improve the integrity, accuracy, completeness, and reliability of the information to be processed or stored; quantity of information required; location where information is required; and the timeliness and format of information. For FIP services and support services, a mission need statement can be used, together with a description of the required support service tasks—for example, system engineering and integration (SE&I) or safety, reliability, maintainability, and quality assurance (SRM&QA)—related back to the mission needs statement. Finally, describe other factors not included above that support the need for the acquisition.

b. Projected growth:

Address how much (percent) the described requirements are expected to grow during the system life of the item(s) being acquired. Use functions, work load, labor, etc., as appropriate to the FIP Resource being acquired. Consider using such categories as: data entry and associated telecommunications support; data bases and data base management; data handling or transaction processing by type and volume; input and output needs and associated telecommunications support including peak traffic loads by location; and any other related elements that may impact work load requirements. Labor growth estimates for services and support services contracts would be appropriate. For example: Programming work load and lines of code are expected to grow at 16% per year for the life of the contract.

c. Existing deficiencies or shortfall:

Evaluate the current system's capabilities, components, a software inventory, and adequacy of program and system documentation. Also describe any deficiencies in these existing capabilities; new or changed program requirements; or opportunities for increased economy and efficiency. Show why the existing FIP Resource capability cannot be used to meet the requirements. Some examples include: current hardware cannot support projected work load for the next fiscal year; current response time is degraded causing long user wait times; response time to maintenance calls is excessive; insufficient programming support to meet requirements; etc.

d. Facility Impact:

Describe the facility where the equipment will be located and any unique space management considerations or requirements. Such considerations may include: floor loading, heat dissipation, air flow, venting, temperature range, relative humidity, energy conservation, power supply, cable, wire risers and runs, fire and other safety alarm functions. If this acquisition has significant impact on space and/or environment, those issues must be addressed in detail in an attachment to the FRDD or in this section.

6. SECURITY (Contact the Directorate, Program, or Staff Office Computer Security Official (CSO) with any questions.)

a. CLASSIFIED DATA PROCESSED?

Indicate whether classified data (e.g., Top Secret, Secret, Confidential) will be processed. If the answer to this Question is YES, list the date and title of Designated Approval Authority (DAA) Accreditation Document, if augmenting the capability of an existing facility; or list the projected date of DAA Accreditation for the facility if the acquisition involves a new facility. Also if YES, skip Question b.

If classified data will not be processed, mark NO and answer the following questions.

b. SENSITIVITY LEVEL OF THE DATA?

- (1). Indicate the sensitivity level for the system (0-3). See the Center's Automated Information Systems (AIS) Security Plan/Manual or a Computer Security Official for an explanation of sensitivity levels.
- (2). As appropriate, list the title and date of the most recent Sensitive Application Analysis or its projected date of completion.

c. RISK ASSESSMENT REFERENCE:

List the title and date of the current risk assessment (the study that addresses such risks as fire, flooding, unauthorized access to the system, etc.) that applies to the Data Processing Installation (DPI) or give the projected completion date of a risk assessment.

d. AIS SECURITY MANUAL OR PLAN COMPLIANCE?

Mark the acknowledgment concerning compliance with the provisions of the Center's AIS Security Plan/Manual. If for any reason this acquisition will not comply with Security requirements, answer NO and attach an explanation.

SECTION III—ANALYSIS OF ALTERNATIVES (Part 1)

GENERAL

In those situations where the FRDD is prepared well in advance of the scheduled procurement activities AND the analysis of the specific procurement alternatives cannot be reasonably accomplished at the time the FRDD is being prepared, completion of Part 2 of the Analysis of Alternatives may be deferred to a later date. Note, however, that the requirement for a completed Analysis of Alternatives (Part 2) prior to any contracting action HAS NOT CHANGED. The completed Analysis of Alternatives (Part 2) must be placed in the contract file as an attachment to the FRDD prior to any contracting action. Note: if the FRDD contains a variety of items that will be acquired under a series of different contracts, the Analysis of Alternatives (Part 2) may also be submitted as a series of documents. In this situation, each submission of the Analysis of Alternatives (Part 2) would document one (or more) specific acquisition(s).

1. ANALYSIS ATTACHED?

YES:

If the Analysis of Alternatives (Part 2) will be completed and attached to the FRDD at this time, answer YES.

NO:

If the Analysis of Alternatives (Part 2) is to be completed at a later date, answer NO to Question 1 and answer Question 2.

2. WILL THE ANALYSIS BE PLACED IN THE CONTRACT FILE PRIOR TO ANY CONTRACTING ACTION?

The Analysis of Alternatives (Part 2) must be completed and placed in the contract file as an attachment to the FRDD prior to any contracting action. Enter your answer (YES or NO) for compliance with this requirement. If the answer is NO (i.e., the Analysis of Alternatives (Part 2) will not be completed prior to any contracting actions), explain the rationale in an attachment.

SECTION IV—IMPLEMENTATION PLAN

1. LONG RANGE ACQUISITION PLANNING

Indicate whether this acquisition is a part of a long-range effort (series of acquisitions of similar items or part of a larger strategy, plan, or initiative). If the answer is YES, describe the total effort. Also include a discussion of the role of this acquisition in that effort; why the subject requirements were segregated and acquired separately from the overall effort; whether other acquisitions that are part of the effort also will acquire FIP Resources; and the interdependency of the subject acquisition to those other acquisitions.

2. ESTIMATED SCHEDULE

Enter the estimated dates for each of the acquisition milestones listed. If the overall acquisition will be sub-divided into a series of individual procurements, insert the estimated first date for each applicable milestone, i.e., for solicitation, indicate the estimated date for the first solicitation, etc. Also list the name and date of any other significant milestones.

3. ESTIMATED CONTRACT COST AND FUNDING DATA

Provide the estimated Contract Cost and Funding Data for the acquisition. If the acquisition system/item/contract life is for more than 5 years, use Page 7, NASA Form 1647, Optional Table for Cost Data.

a. Contract Costs (see notes below):

Provide the estimated contract costs for EACH relevant FIP Resource Type (hardware, software, etc.) by Fiscal Year (FY). After entering the FY data for each FIP Resource type, SUM all the fiscal year entries for each resource (line) and place the totals in the appropriate cells of the LINE TOTAL Column. Finally, subdivide the LINE TOTAL for each FIP Resource into the estimated amounts of that total that are competitive, non-competitive, and compatibility limited.

If non-FIP items are an integral part of this acquisition, provide an estimate of their contract amounts by fiscal year in the space provided. Include only significant non-FIP related costs in this line. Such costs can include facility modifications, furniture, etc.

b. Funding Data (see notes below):

Provide the estimated contract costs for the acquisition by Fiscal Year and 3 digit Unique Project Number (UPN). If multiple UPNs exist for this acquisition, use one line for each applicable UPN and insert the costs for EACH UPN in the appropriate fiscal year.

NOTES:

1. Provide all dollar figures in thousands, i.e., \$1K represents \$1,000 and \$210K represents \$210,000, etc. Round fractional figures to the next highest thousand. Also ensure that the column and row sums and equality rules as given on the form are checked.
2. Sufficient market research should be performed in the beginning stages of the preparation of the FRDD so that a reasonable estimate of competition and potential costs can be made and documented in the FRDD. If TBD is selected for Question 3 of Section I—Executive Summary (i.e., you are not certain as to the probable nature of competition for the acquisition), you may then enter the estimated dollar amounts as competitive dollars which will be compared against the competitive threshold. **However**, if subsequent research determines that the nature of the acquisition will be non-competitive, then at that time the resultant estimated costs will be compared against the non-competitive threshold. Further, if these new estimated costs EXCEED the non-competitive threshold, the original Form FRDD will be cancelled and a COMPREHENSIVE FRDD with its higher documentation requirements and a lengthy approval process will be required for the acquisition.
3. After approval of the FRDD, the LINE TOTALS Column become the upper level or thresholds for each FIP Resource Type that CAN NOT BE EXCEEDED by the actual procurement(s) without proper authorization.

4. ITSP (INFORMATION TECHNOLOGY SYSTEMS PLAN) REFERENCE

Indicate if the acquisition is referenced in the current ITSP. If the answer is YES, give the ITSP System ID that pertains to this acquisition. Also provide the Center/Installation ITSP text paragraph number applicable to the acquisition as well as the appropriate Exhibit 2 page and line number. If the answer is NO (i.e., the item is not in the ITSP) and the acquisition cost is estimated to be greater than or equal to \$250,000, attach an explanation addressing why the FIP Resource was not included in the ITSP.

5. APPLICABLE FIPS (FEDERAL INFORMATION PROCESSING STANDARDS) NUMBERS

List, by number only, the FIPS that apply to the acquisition and that will be followed. Also, indicate any FIPS that apply to the acquisition that will not be followed and attach waivers or waiver requests. See the FIPS Publications Index for a short description of the current FIPS. Also see the IRM Office or the SIIO for local guidelines for application of FIPS.

REMARKS.

This section may be used for any short comments or answers to questions.

APPENDIX A

ANALYSIS OF ALTERNATIVES (Part 2) (NASA Form 1647, Pages 5-6)

APPENDIX A
ANALYSIS OF ALTERNATIVES (Part 2)
(NASA Form 1647, Pages 5 and 6)

GENERAL: The Analysis of Alternatives (Part 2) **MUST BE COMPLETED** and placed in the Contract File **PRIOR** to any contracting action. However, it does not have to be completed at the same time as the remainder of the FRDD. Accordingly, page 5 of the FRDD (the first page of the 2 page Analysis of Alternatives) is sub-divided into two sections: the FRDD Identification and Coordination Section and the Analysis of Alternatives Section (Part 2). The FRDD Identification and Coordination Section is to be completed **ONLY** if the Analysis of Alternatives (Part 2) is submitted after the FRDD has already been approved. If the Analysis of Alternatives (Part 2) will be completed and coordinated along with the remainder of the FRDD, then **SKIP** the FRDD Identification and Coordination Section on page 5 and begin with the Analysis of Alternatives (Part 2) at the bottom of page 5.

Note also that if the original FRDD contains a variety of items that will be acquired under a series of different contracts, the analysis of alternatives may also be submitted as a series of documents. In this situation, each submission of the Analysis of Alternatives (Part 2) would document one (or more) specific acquisition(s).

FRDD IDENTIFICATION AND COORDINATION SECTION

(Complete page 5 between the shaded lines **ONLY** if the Analysis of Alternatives (Part 2) is submitted as a separate document)

GENERAL: Complete this section **ONLY** if the Analysis of Alternatives (Part 2) is being submitted as a separate document and not as an attachment to the FRDD during its original approval process. If this analysis will be attached to the original FRDD during its approval cycle, skip to "Analysis of Alternatives Section (Part 2)" on the next page of these instructions.

FRDD IDENTIFICATION

Copy the information from the Identification Section of the original FRDD into the appropriate locations in this section. Make changes as necessary (e.g., new Author Name if author has changed, etc.). However, do not change the original identification numbers (Question 1).

FRDD COORDINATION

a. CERTIFICATION:

The signature of the Originating Office's Approving Official indicates both approval of the separate Analysis of Alternatives (Part 2) as well as the certification that the original FRDD has not changed significantly. Examples of significant changes include the following:

- (1). The total cost estimates for this acquisition exceed the funding levels approved on the original FRDD, in which case the original FRDD must be amended or a new FRDD submitted.
- (2). The total cost estimates for this acquisition now exceed NASA's Delegation of Procurement Authority (DPA). In this case a new FRDD must be submitted.
- (3). The nature of FIP Resources being procured has changed. Example: the original FRDD was for hardware and you now want support services. In this case a new FRDD must be submitted.

b. UPDATED COST DATA:

Provide the following cost data:

Columns 1 to 4: Copy the estimated Cost Table (Question 4 of FRDD Executive Summary) from the approved FRDD. These costs represent the approved maximum expenditures or cost thresholds (by FIP Resource Type) for the acquisition.

Column 5: Enter the actual total amount spent to date on procurements authorized by the FRDD and any other individually prepared Analyses of Alternatives (Part 2). See the appropriate Contracting Officer for this information.

Column 6: Enter the estimated costs for this procurement/Analysis of Alternatives (Part 2).

Column 7: Sum each line in columns 5 and 6.

Columns 8 to 10: In the same manner as columns 1 and 2 to 4, subdivide the column 7 line total for each FIP Resource (line) into the estimated amounts that are competitive (column 8), non-competitive (column 9), and compatibility limited (column 10).

NOTE: Column 1 represents the approved upper thresholds for each FIP Resource Type in the FRDD. If any of the line totals for a FIP Resource Type in Column 7 exceed those amount for the same FIP Resource Type as approved in column 1, an amended FRDD must be prepared and coordinated according to local policy. Further, if any increase exceeds the NASA Delegation of Procurement Authority (DPA) limit, a comprehensive FRDD may be required. See the local IRM Office, Procurement Office, or the SIO if this situation occurs.

c. COORDINATION:

Obtain the Approval (signature) of the Originating Official (the same official/position who approved the original FRDD for the Originating organization). This individual is also certifying that the circumstances concerning the original FRDD have not changed significantly (see Question a—Certification above). Then obtain the coordination initials from the IRM, Procurement, and SIO Offices as listed on the FRDD and as dictated by local Center/Installation policy.

ANALYSIS OF ALTERNATIVES SECTION (Part 2) **(Complete this Section for ALL Acquisitions)**

1. DESCRIPTION OF ITEM(s)

An accurate description of the item(s) and/or services that are being to be acquired must be provided. Either provide an updated list in the space provided or in an attachment, or check the space that indicates that the Description provided in Section I—Executive Summary applies to this Analysis of Alternatives.

2. MARKET RESEARCH RESULTS

a. PRODUCTS/VENDORS CAPABLE OF MEETING REQUIREMENTS:

Based on market research, list both the products found that meet the requirements and the vendors that can provide these products. Note, in order for a procurement to be considered "competitive," there must be at least two different products (brand names) which can satisfy hardware and software requirements, and two different firms which can supply required services.

Detailed market research is an effective way to determine cost information and availability of technology to meet requirements, and to help in identifying feasible alternatives. Sources for such information include the following:

- **Vendor and Industry contacts:** Contacting vendors and attending trade shows can help identify specific vendors who can provided needed supplies and services.
- **Published Materials:** Valuable information can be obtained from trade journals, weekly and monthly periodicals, technical information and research publications, and technical forecast and business environment publications.

- **Peer Groups:** Information Resources (IR) managers and analysts are important sources of information. Other federal agencies also may be willing to exchange information. User Groups are also helpful and offer regular meetings and periodicals.
- **Request for Information (RFI)/Sources Sought Synopsis** (See the local procurement office for more information before beginning such an action): So long as specific contacts with vendors will not lead to award of a contract (i.e., a contracting action), the RFI/Sources Sought Synopsis (an announcement in the Commerce Business Daily—CBD) may be used to publicly request and receive industry information on products, technology, or services to meet a requirement.
- **Release of Draft Specifications or Functional Requirements to Industry** (As above, see the local Procurement office for more information before initiating such an action): Similar to the RFI, availability of specifications can be published in a CBD announcement in an effort to solicit vendor comments and recommendations.

b. NON-COMPETITIVE RATIONALE:

If no competitive products were found (i.e., only one product or firm can satisfy the requirements), show how you made that determination. Specifically, address what research was done, what products/firms were reviewed and why potential alternative products/firms are unacceptable. You must attach a JOFOC or Contractor Justification which must contain this information.

c. COMPATIBILITY LIMITATIONS:

Indicate if this acquisition (or portion of an acquisition) is compatibility limited. If the answer is NO, continue with Question #3 below. If the answer is YES, indicate if the conversion study was submitted with the FRDD during its approval process; if the conversion study is attached at this time; OR if the Conversion Study has not been prepared. Explain in an attachment if a conversion study has not been prepared.

3. SPECIFIC ANALYSIS OF ALTERNATIVES

Following the steps below, consider each of the individual alternatives that are listed in the FRDD for the category or type of FIP resource(s) being acquired (i.e., for a hardware acquisition, consider all of the alternatives listed in the hardware group, etc.). Each of the alternatives in each group are defined in Appendix B to these instructions. The local Procurement Office or the IRM Office will provide assistance with the preparation and analysis of this section.

- **STEP 1 (Select Feasible Alternatives):** Investigate each alternative in the applicable FIP Resource Group (i.e., the hardware alternative Group for a hardware acquisition, etc.) and indicate (YES or NO) whether the alternative is feasible. A **FEASIBLE ALTERNATIVE** is an alternative that meets or satisfies all the requirements presented in Section II and IS BOTH **VIABLE AND REALISTIC**. Certain GSA alternatives are marked with an asterisk (*) on the FRDD. These alternatives have been identified by the Federal IRM Regulation (FIRMR) as alternatives that must be used (Mandatory for use) if they are feasible. If one of these mandatory alternatives is **FEASIBLE** for the acquisition but is not selected, contact the local IRM Office or the SIIO for further instructions. Non-use of a "Mandatory for Use" Alternative may require that a waiver be obtained by the Center/Installation.
- **STEP 2 (Calculate each feasible alternative's Total Cost or Present Value):** Once all the feasible alternatives have been identified, use the Cost Analysis Spreadsheet to document all the relevant costs for each of the **FEASIBLE** alternatives and to calculate each alternative's Total Cost (present value). Extract each alternative's Total Cost (present value) from the spreadsheet and insert this value in the Total Cost column. Attach copies of all relevant spreadsheets to the FRDD. An explanation of the spreadsheet and definitions for all the required cost data are included in Appendix C to these instructions. The Cost Analysis program (spreadsheet file) and instructions for its use are available at the local Center/Installation IRM Office or the SIIO.

4. SELECTION OF BEST ALTERNATIVE (STEP 3)

After the present values for all feasible alternatives have been calculated, select the alternative with the lowest Total Cost (present value) as the best alternative for the acquisition. If other factors impact the decision and cause the selection of other than the

lowest cost alternative, these factors and rationale must be explained in Question 5 below—Rationale for Selection of Alternative. Factors that can impact the decision are also listed in Question 5.

5. RATIONALE FOR SELECTION OF ALTERNATIVE

a. Check the box that shows the rationale for selection of the Best Alternative (Question 4 above).

b. If the "Other" box is checked (most often indicating that the alternative selected is not the one with the lowest cost), provide the applicable off-setting benefits or other rationale that justifies this selection. Relevant rationale can include the following:

- **Budget/availability of Funds.** Evaluate the extent to which the existing budget can support the desired alternative. For example, describe a budget limitation that precludes outright purchase of a resource yet is sufficient for a straight lease option.
- **Financial risk.** Evaluate the extent to which the alternative is subject to unexpected additional costs.
- **Technical risk.** Evaluate the probability that it will prove difficult to achieve all or part of the technical objectives due to unforeseen problems, despite cost or schedule. This includes management and user acceptance risks as well as those of a purely technical nature. Generally, the alternative that is closest to status quo and presents the least extension of the state-of-art presents the least exposure to such risks. But, there is also a technical risk that old technology will cease to meet the requirements at some point during the system life.
- **Schedule risks.** Evaluate for the extent to which it is subject to unexpected delays in meeting the technical objectives of the system, despite cost. An important consideration here will be the location and preparation of any specialized space as well as the systems life compared to any contractual or other limitation on specialized space. Further, budgeting and acquisition cycles must be considered.

APPENDIX B

ALTERNATIVES BY FIP RESOURCE TYPE (NASA Form 1647, Page 6)

APPENDIX B
ALTERNATIVES BY FIP RESOURCE TYPE
(NASA Form 1647, Page 6)

HARDWARE ALTERNATIVES:

- **GSA/NASA Excess FIP Equipment Program:** The GSA Excess FIP Equipment Program (at both Agency and local levels) facilitates the reuse of excess Information Resources (IR) equipment components that are not outdated and that have an original acquisition cost of \$1 million or more (Agency-level) and less than \$1M at the local level. Contact the local IRM, Procurement, or Equipment Redistribution and Utilization (Property Disposal) Office to obtain information on available FIP Hardware in this program that may be able to support a specific acquisition. Use of existing excess equipment must be considered before contracting for FIP resources.
- **Agency or Center Consolidated Programs/Contracts:** NASA Headquarters or installations may have programs or contracts that are mandatory for use to satisfy local requirements. An example of such a program might include a centrally administered contract for PC acquisitions. Contact the local IRM Office or procurement office to determine the availability of such programs or contracts and the conditions for their use.
- **Share Excess Federal Data Processing Capacity:** Address whether locally available, Federally-owned excess processing capacity or other excess resources can be shared to meet the requirement. Contact the local IRM or Procurement Office or see FIRMR Bulletin C-11 for a listing of excess Federal hardware capacity.
- **Use Existing Hardware:** Determine if any local arrangements be made (by rescheduling current applications, for example) to make sufficient resources available to meet the requirement.
- **Contract for Commercial Services:** The acquisition of Commercial Services (such as time sharing or emergency system back-up services) instead of a contract for physical hardware/software resources must be considered. Appropriate criteria to consider include: local availability; the rate at which technology is changing; the expected growth of the workload; the security requirements; and any building and space constraints.
- **Purchase:** Note that there are a variety of contract methods, and that many FIP Resources can be obtained through GSA non-mandatory ADP and telecommunications schedule contracts. Therefore, the local Procurement Office will assist the originator in determining the best method of contracting for new or additional hardware resources.
- **Lease:** Use this option as follows:
 - Short System Life:** A Straight Lease is generally most advantageous (lowest total cost) for hardware with an estimated system life of less than about 2-3 years. Beyond 2-3 years, purchase will typically become more advantageous. The local IRM or Procurement Office may provide guidance concerning crossover or breakeven points (in years) between lease and purchase options for typical acquisition items. If no local policy has been established regarding lease versus purchase analyses, then both lease and purchase alternatives must be evaluated.
 - Budget:** A lease option may be appropriate when BUDGET constraints will not allow an outright purchase but will allow a lesser expenditure. When investigating lease options consider variations to the straight lease, such as Lease to Ownership, Lease with Option to Purchase, etc., that may be more advantageous to the government. Document these other alternatives using one of the extra rows titled: Other. Merely insert the appropriate name of the option and develop the cost data and present value for the added option(s) in the same manner as for previous alternatives.

SOFTWARE ALTERNATIVES:

- **Financial Management Systems Software—FMSS (Mandatory for use Program):** This is a mandatory multiple award schedule (MAS) program that OMB established to provide a Government-wide financial management systems software program (payroll and budget). To help agencies carry out this program, GSA has established the mandatory FMSS MAS program. If this acquisition involves financial/management software, contact the local IRM Office or Procurement Office.
- **Federal Software Exchange (FSE) Program:** The FSE Program makes selected excess software available for reuse by other government agencies. All acquisitions for FIP software that exceed \$1M must certify that the FSE Center has been contacted and that no common-use software exists or that common-use software is not a viable alternative despite availability. Contact the local IRM or Procurement Office for information concerning availability of a program to support the specific application.

Also consider **NASA's Computer Software Management and Information Center (COSMIC):** NASA's COSMIC also makes selected software available for re-use by Agency organizations. Information on availability of software that may meet the acquisitions requirements may be obtained through the local SIO or IRM Offices or through the NASA Electronic Bulletin Board Service (NASABBS).

- **Agency or Center Consolidated Programs/Contracts:** Agencies or installations may have programs or contracts that are mandatory for use to satisfy local requirements. Contact the local IRM or Procurement Office to determine the availability of such programs or contracts and the conditions for their use.
- **Redesign Existing Software:** Can existing software be redesigned or converted to satisfy the requirement?
- **Develop Software In-House:** Can the requirement can be met through a development effort by an in-house office?
- **Purchase:** This option is typical for the procurement of micro-computer software. Note that there are a variety of contract methods, and many FIP Resources can be obtained through GSA non-mandatory ADP schedule contracts. Therefore, the local Procurement Office will assist the originator in determining the best method of contracting for new or additional software resources.
- **Lease:** This option is typical for the procurement (lease for the license to use) of mini-computer and mainframe computer software. For software, straight lease is the normal method of acquisition; However, a site-license, lease for a perpetual, extended term, or monthly license to use are also valid. If the originating office investigates other alternatives that are not listed, such as Lease to Ownership, etc., provide the necessary information on these alternatives using one or more of the extra rows that are titled: Other.

TELECOMMUNICATIONS ALTERNATIVES:

- **GSA FTS2000 services (Mandatory for Use Program).** GSA provides a wide range of inter-city telecommunications services through its Federal Telecommunications System inter-city network, known as FTS2000. Use of FTS2000 is generally mandatory for agency use when the inter-city voice, data, and video service offered meet agency needs. For further information, contact the local IRM or Procurement Office.
- **GSA Consolidated Local Telecommunications Service (Mandatory for Use Program).** GSA provides selected telecommunications services as part of building services in many GSA-managed consolidated Federal office buildings. Use of these services is generally mandatory in larger consolidated Federal buildings. For more information, contact the local IRM or Procurement Office.
- **GSA POTS Program—Purchase of Telephones and Services (Mandatory for Use Program).** POTS contracts provide for the purchase, installation, maintenance, repair, removal, and relocation of telephone equipment. They are a mandatory source of supply at most locations where GSA provides consolidated local telecommunications service (see the Consolidated Local Telecommunications Service Alternative above). The POTS Program and contracts are optional for use at some other locations. For more information, contact the local IRM or Procurement Office.
- **National Security and Emergency Preparedness—NSEP (Mandatory for Use Program).** In accordance with Executive Order 12472, GSA incorporates NSEP safeguards in FTS networks and services it provides for agencies. Agencies using FTS must use these systems and services to meet their general NSEP requirements. For more information, contact the local IRM or Procurement Office.
- **Communications Security (COMSEC).** COMSEC is GSA's comprehensive package of services designed to protect the transmission of sensitive and classified information. It includes system engineering, installation maintenance, repair, training, and other support services and includes the programs and services presented below. For more information on any of these GSA Telecommunications Security programs or services, contact the local IRM or Procurement Office.
 - Federal Secure Telephone Service (FSTS).** FSTS is a worldwide secure voice service designed to protect sensitive and classified voice transmissions. Agencies/Centers are required to consider the use of FSTS to meet their requirements for this type of service.
 - Information Systems Security (INFOSEC).** GSA provides INFOSEC system and equipment protection services for Federal Agencies. These services range from security measures and computer security to communications security.
 - TEMPEST:** GSA manages a TEMPEST (study of emanations from electrical equipment) service to support the needs of Federal Agencies.

**TELECOMMUNICATIONS ALTERNATIVES:
(continued)**

- **GSA Technical Assistance Programs (TAP):** TAPs provide contractual vehicles for customer premise equipment (CPE) and related services; and technical consultation and assistance to Federal agencies through the use of various GSA contract services and resources. Contact the local IRM Office or the GSA regional office for more information or assistance regarding the following programs:
 - Telecommunications Technical Services Contract (TTSC).** TTSC provides telecommunications expertise to agencies, through a contractor, in selected geographical areas. A reimbursable surcharge is assessed to agencies for use of the TTSC.
 - GSA Direct Assistance Program (DAP).** Under the DAP, GSA Information Resources Management Service personnel provide telecommunications technical support services to agencies. An hourly rate charge is assessed agencies for the use of the DAP.
- **Sharing of Local Telecommunications Resources:** Address whether locally available telecommunications resources can be shared with other Federal Agencies to meet the requirement. Contact the local IRM or Procurement Office for more details on this program.
- **Contract for New or Used Resources:** Self-explanatory.

SUPPORT SERVICES ALTERNATIVES:

- **GSA Regional Contract Services Program:** GSA has developed many regional IR support services contracts to meet agency requirements. Contact the local IRM Office or the GSA regional office to determine the scope, availability, and terms of these contracts as well as their local applicability.
- **GSA Office of Technical Assistance (OTA):** OTA provides a variety of IR support services to meet agency requirements. Contact the local IRM Office or the OTA for information on the scope of these services.
- **Contract for Support Services:** Self-explanatory.
- **Contract for Maintenance Services:** Self-explanatory.

COMMERCIAL SERVICES ALTERNATIVES:

- **GSA Regional Contract Services Program:** GSA has developed many regional information resources support services contracts to meet agency requirements. Contact the local IRM Office or the GSA regional office to determine the scope, availability, and terms of these contracts.
- **Contract for Commercial Services:** These contracts typically include either time sharing resources or emergency back-up resources.

CONSUMABLE FIP SUPPLIES AND OTHER ALTERNATIVES:

- **Contract to Purchase Supplies:** Purchase is the only option that must be documented for the acquisition of expendable, FIP-related supplies.

APPENDIX C

COST ANALYSIS SPREADSHEET ATTACHMENT FOR ANALYSIS OF ALTERNATIVES (Part 2)

APPENDIX C COST ANALYSIS SPREADSHEET

— ATTACHMENT TO ANALYSIS OF ALTERNATIVES, NASA Form 1647, Page 6

1. GENERAL. Use the cost analysis spreadsheet to document estimated required and optional contract and life-cycle costs associated with feasible alternatives only. Note: these estimated required and optional costs may be derived from a variety of sources such as advertisements, GSA Schedules, Research Publications such as DataPro, vendor contacts, etc. After entering the estimated costs for each feasible alternative, the Spreadsheet calculates the estimated total cost (or net present value) for each alternative. The estimated total cost is copied to Page 6 of the FRDD and placed in the Total Cost Column for the appropriate alternative. After the total costs for all alternatives have been calculated, they may then be compared to aid in the selection of the most advantageous alternative to the Government. Attach each of the Spreadsheets to the FRDD.

See the IRM Office or the SIIO to obtain a copy of both the Spreadsheet as well as the detailed instructions for its use.

2. ORGANIZATION OF THE SPREADSHEET. The spreadsheet file is organized into the following sections:

a. Section 1—Documentation pages for each of the Alternatives. (See Figure C-1): Pages 1 to 4 in the spreadsheet are identical and allow documentation of costs for up to four individual alternatives for each of the contract years (NOT Fiscal Years) during the system life of the acquisition. The appropriate cost data for each alternative are entered on these pages with one alternative only per page.

b. Section 2—Summary page: Page 5 in the Spreadsheet is a summary page that recapitulates the names of each alternative, the estimated equivalent total cost for each, and the alternative with the least cost. This page can be used to compare alternatives within the same FIP Resource Group only. For example, if a single spreadsheet file were used to document three feasible hardware alternatives, then the summary page can be used. If, on the other hand, a single spreadsheet file were used to document two software alternatives and two maintenance alternatives, then the summary page has limited meaning since one software alternative and one maintenance alternative must be selected (not just the single alternative with the lowest cost).

c. Section 3—User Instructions: Page 6 and subsequent include general instructions regarding use of the Spreadsheet and the Salvage Value Calculator, a means for calculating the salvage (or residual) value of any item that is purchased.

d. Section 4—Worksheet Calculations: This section contains all the intermediate calculations necessary to support the spreadsheet. User access to this section is neither required nor recommended.

3. DEFINITIONS AND GENERAL INSTRUCTIONS: The following Definitions and General Instructions apply to the Cost Analysis Spreadsheet as shown in Figure C-1.

a. **FRDD ID#:** Use the FRDD ID# from the FRDD Identification Section, Page 1 of the FRDD to identify each page of the Cost Analysis Spreadsheet.

FRDD ID#

First Contract Year

Subsequent Contract Years in One Year Increments

Title

Cost Factors

Cells contain Cost Data for the Cost Factor for a specific year

Total Cost (Present Value). This value is copied to Page 6 of the FRDD

	A	B	C	D
1	YYYY-COCC-XXXX			
2	ALTERNATIVE 1 TITLE: (enter the alternative name)			
3				
4	(Enter Your data in the appropriate cells. Leave \$0 values in all other cells)			
5				
6	COST COMPONENT	YEAR 1	YEAR 2	YEAR 3
7	PURCHASE ALTERNATIVE			
8	Purchase Price	0	0	0
9	Annual Maint	0	0	0
10	Salvage	0	0	0
11	Other- List Name	0	0	
12				
13	or LEASE ALTERNATIVE			
14	Lease Costs	0	0	
15	Lease Maintenance	0	0	
16	Other- List Name	0	0	
17				
18	ADDITIONAL OPTIONAL FACTORS FOR ANY ALTERNATIVE			
19	Conversion	0	0	0
20	Space/Facility Modifications	0	0	0
21	Personnel	0	0	0
22	Supplies	0	0	0
23	Energy	0	0	0
24	Contract Administration	0	0	0
25	Other- List Name	0	0	0
26	Other- List Name	0	0	0
27	Other- List Name	0	0	0
28	Other- List Name	0	0	0
29				
30	SUM OF COST COMPONENTS	0	0	0
31				
32	Present Value for Each YEAR	\$0	\$0	\$0
33				
34	TOTAL Present Value			
35	of the ALTERNATIVE	\$0	Enter this value on Page 6 of FRDD	

Figure C-1. Cost Analysis Spreadsheet

b. **TITLE:** Insert an appropriate title that describes the specific alternative whose cost data is being documented.
 Example titles include: Purchase Option; GSA Schedule Lease Alternative; Project XXxxx System (Hardware & Software); etc.

c. **SPREADSHEET COLUMNS (YEAR 1, YEAR 2, etc.):** YEAR 1 represents the initial or beginning full

year of the contract for the specific alternative. Enter All costs in the spreadsheet in the contract year in which they are expected to occur. For example, Purchase Cost would be entered as a "YEAR 1" cost while a Salvage Cost (or residual cost after the system life of a FIP Resource) would be entered in YEAR 5 for hardware with a system life of 5 years.

d. **SPREADSHEET CELLS:** The Cells of the spreadsheet represent estimated dollar costs. All the cell values are initialized as \$0 in the spreadsheet.

SPREADSHEET COST FACTORS (Required Costs)

The costs defined below must be documented in the appropriate Spreadsheet sections. A separate spreadsheet page is required for each feasible alternative.

- **PURCHASE PRICE, LEASE COST, or INITIAL COST:** As applicable for each alternative, enter those costs directly associated with either purchase or lease/service contracts. Service Contracts (either commercial or support services) are considered Purchase Alternatives. Note: Some vendors provide monthly costs rather than yearly costs. Convert all costs to yearly costs.
- **MAINTENANCE:** Enter single yearly amounts for maintenance into the years in which those costs will occur.
- **SALVAGE:** Enter the residual value of any hardware acquired by a purchase option. The item's salvage value is the estimated resale (or trade-in) value of the Government-owned item at the end of its useful life. The cost analysis spreadsheet provides an easy-to-use estimator of salvage values based upon a percentage of the original purchase price and the age of the item when salvaged. Once calculated, the salvage value is entered into the appropriate cell in the spreadsheet. For example, if the system life of an item is 6 years and the original purchase price is \$80,000, then the estimated Salvage value of \$7600 (from the salvage value calculator) is entered into the cell corresponding to a Salvage Cost and YEAR 6 intersection.

SPREADSHEET COST FACTORS (Optional Costs)

Optional costs are listed in the bottom section of the Spreadsheet. If you have evidence that leads you to believe that one or more of these costs will vary significantly depending on the alternative, then include them in the detailed analysis and enter them in the appropriate cells of the spreadsheet. In many acquisitions, the same costs apply to all alternatives. In this case, DO NOT either ENTER OR ANALYZE these costs since they will have an equivalent or equal impact on all alternatives.

• EXAMPLES:

In a hardware acquisition, hardware will be acquired regardless of whether it is purchased or leased. Therefore, a space or facility modification cost such as electrical outlets or raised floor space will be the same for all alternatives.

An example of a significant cost factor might be the administrative cost of contracting when comparing a transfer of FIP Resources to contracting for new FIP Resources.

Another example might be the costs associated with a requirement for a new facility with raised floorspace when comparing a purchase option versus contracting for commercial services.

Generally there are no fixed rules regarding which types of environments and alternatives may cause any of these costs to become significant. The significance of these costs simply depends upon the specific environment and the feasible alternatives that are being analyzed. However, in a more general sense, it is a reasonable expectation that much closer attention be paid to these costs as the overall cost of the acquisition approaches approximately \$1.0M and above.

- **CONVERSION:** This cost is copied from an attached Conversion Study.

- **SPACE/FACILITY MODIFICATIONS:** Enter costs such as site preparation, building rental, lease, or maintenance, and office furniture.
- **PERSONNEL:** Enter all personnel costs (e.g., salaries, overtime, fringe benefits, training, and travel) associated with each alternative.
- **SUPPLIES:** Enter costs for expendables such as office supplies, data processing materials, and other miscellaneous expenses.
- **ENERGY:** Enter the cost of utilities such as heating, air conditioning, and power.
- **ADMINISTRATIVE COST OF CONTRACTING:** For alternatives involving contracting, enter the clerical and other administrative costs associated with the preparation and distribution of solicitation and contract documents. See the local Procurement Office for estimated costs associated with this factor.
- **OTHER:** The last part of this section allows the entry of additional cost factors not listed above. Merely rename the "Other" line and then enter the cost data for the appropriate year.

4. EXAMPLES

a. ACQUISITION EXAMPLE: Hardware peripheral.

Assumptions: system life is 5 years; purchase is the only feasible hardware option; no software requirements; no maintenance requirements (maintained under existing contract); and no additional cost factors apply.

In this situation, only the Purchase Alternative spreadsheet must be prepared. The spreadsheet below documents the following costs: Purchase: \$45,000. Salvage or residual value: \$7,200 at end of five years (calculated using the salvage value calculator in the spreadsheet).

1991-PS21-0017						
ALTERNATIVE 1: Purchase of a Peripheral						
(Enter Your data in the appropriate cells. Leave \$0 values in all other cells)						
COST COMPONENT	YEAR 1	YEAR 2	YEAR 3	YEAR 4	YEAR 5	YEAR 6
PURCHASE ALTERNATIVE						
Purchase Price	45000	0	0	0	0	0
Annual Maint	0	0	0	0	0	0
Salvage	0	0	0	0	-7200	0
etc						
SUM OF COST COMPS	45000	0	0	0	-7200	0
Present Value for Each YR	\$45000	\$0	\$0	\$0	-\$4471	0
TOTAL Present Value						
of the ALTERNATIVE	\$40529	Enter this value on Page 6 of FRRD				

Figure C-2. Spreadsheet Example: Hardware Peripheral Purchase

b. ACQUISITION EXAMPLE: Hardware with operating system software and maintenance (single vendor):

Assumptions: single vendor solution; system life is 6 years; purchase is the only feasible hardware option; maintenance must be provided by the vendor and is also bundled with hardware; lease is the only feasible operating system software option; and no additional cost factors apply.

In this situation, two spreadsheets are required since the Total Cost for each of the individual alternatives must be calculated and copied to Page 6 of the FRDD:

Spreadsheet #1: Purchase Hardware: In this situation, the Hardware Purchase and maintenance are documented on the same spreadsheet page. In the Spreadsheet example below: Purchase: \$125,000; Maintenance: \$0 for first year (under warranty), \$15,000 per year for the next 2 years and \$16,000 per year for the last 3 years; \$15,000 (income) estimated Salvage or residual value (calculated using the salvage value calculator in the spreadsheet).

Spreadsheet #2: Lease Software: On a separate page, document the software lease costs. In the Spreadsheet example below: Software lease: \$20,000 per year

1991-PS21-0006						
ALTERNATIVE 1: Hardware						
(Enter Your data in the appropriate cells. Leave \$0 values in all other cells)						
COST COMPONENT	YEAR 1	YEAR 2	YEAR 3	YEAR 4	YEAR 5	YEAR 6
PURCHASE ALTERNATIVE						
Purchase Price	125000	0	0	0	0	0
Annual Maint	0	15000	15000	16000	16000	16000
Salvage	0	0	0	0	0	-15000
...						
TOTAL Present Value						
of the ALTERNATIVE	\$222510	Enter this value on Page 6 of FRRD				
		PAGE 1				
1991-PS21-0006						
ALTERNATIVE 2: Software Lease						
(Enter Your data in the appropriate cells. Leave \$0 values in all other cells)						
COST COMPONENT	YEAR 1	YEAR 2	YEAR 3	YEAR 4	YEAR 5	YEAR 6
...						
or LEASE ALTERNATIVE						
Lease Costs	20000	20000	20000	20000	20000	10000
Lease Maintenance	0	0	0	0	0	0
....						
TOTAL Present Value						
of the ALTERNATIVE	\$89607	Enter this value on Page 6 of FRRD				
		PAGE 2				

Figure C-3. Spreadsheet Example: Hardware Purchase and Software Lease

c. ACQUISITION EXAMPLE: Hardware with maintenance (multiple vendors):

Assumptions—system life is 3 years which requires investigation of both Lease and Purchase Alternatives; Hardware available under Purchase Option is air cooled and requires only minimal facility modifications; Hardware available under Lease Option is water cooled and requires extensive facility modifications; Maintenance will be included.

In this situation, two spreadsheets are required (See Figure C-4):

Spreadsheet #1: Purchase Hardware: In this situation, the Hardware purchase and maintenance can be documented on the same spreadsheet page. In the Spreadsheet example: Purchase: \$1,500,000; Maintenance: \$0 for first year (under warranty), and \$60,000 per year for the last 2 years; \$480,000 (income) estimated Salvage or residual value (calculated using the salvage value calculator in the spreadsheet).

Spreadsheet #2: Lease Software: On a separate page, document the software lease costs. In the Spreadsheet example below: Software lease: \$425,000 per year plus a one-time facility modification cost of \$100,000 to handle the water cooling requirement.

In this example, note that it is not clear which alternative is more advantageous to the government (least cost) prior to determining the present value cost. The summary page in the spreadsheet is displayed in Figure C-4 to assist the user with this problem and the selection of the least cost alternative.

1991-PS21-0043						
ALTERNATIVE 1: Hardware PURCHASE						
COST COMPONENT	YEAR 1	YEAR 2	YEAR 3	YEAR 4	YEAR 5	YEAR 6
PURCHASE ALTERNATIVE						
Purchase Price	1500000	0	0	0	0	0
Annual Maint	0	60000	60000	0	0	0
Salvage	0	0	-480000		0	0
Other- List Name	0	0	0	0	0	0
...						
TOTAL Present Value						
of the ALTERNATIVE	\$1207438	Enter this value on Page 6 of FRRD				
PAGE 1						
1991-PS21-0043						
ALTERNATIVE 2: Hardware LEASE						
COST COMPONENT	YEAR 1	YEAR 2	YEAR 3	YEAR 4	YEAR 5	YEAR 6
...						
or LEASE ALTERNATIVE						
Lease Costs	425000	425000	425000	0	0	0
Lease Maintenance	0	0	0	0	0	0
Other-List Name						
...						
ADDITIONAL OPTIONAL FACTORS FOR ANY ALTERNATIVE						
Conversion	0	0	0	0	0	0
Space/Facility Modifications	100000	0	0	0	0	0
...						
TOTAL Present Value						
of the ALTERNATIVE	\$1262603	Enter this value on Page 6 of FRRD				
PAGE 2						
FRDD SUMMARY PAGE						
ANALYSIS OF TECHNICAL ALTERNATIVES						
		Plan ID:	1991-PS21-0043			
	Date:	AUGUST	29	1991		
ALTERNATIVES INVESTIGATED						
ALTERNATIVE 1: Hardware PURCHASE						
ALTERNATIVE 2: Hardware LEASE						
SUMMARY TABLE						
	ALTER.	PRESENT				
	NUMBER	VALUE	DECISION			
	1	\$1207438	LEAST COST ALTERNATIVE			
	2	\$1262623	not least cost			
	3	\$0	n/a			
	4	\$0	n/a			

Figure C-4. Spreadsheet Example: Hardware Purchase, Hardware Lease with an Additional Cost Factor, and Summary Table

d. ACQUISITION EXAMPLE: Service Support Contract (for FIP-related analysis, planning, and provision of software);

Assumptions—Single contract for all the FIP Resources; estimates for the costs are available (\$50,000 per year for 4 years). Since only one option exists, only one spreadsheet is required. The costs above should be documented as a purchase alternative with \$50,000 as a purchase cost in the appropriate years.

ENCLOSURE C-3

DETAILED PROCEDURES FOR PROCESSING FIP RESOURCE DECISION DOCUMENTS, AGENCY PROCUREMENT REQUESTS, AND DELEGATIONS OF PROCUREMENT AUTHORITY

Processing FIP Resource Decision Documents (FRDD's)

These procedures are applicable only for FRDD's that require HQS approval. Each SIIO shall institute his or her own procedures to review and locally approve FRDD's.

1. All FRDD's required to be submitted to HQS for approval (that is, those supporting acquisitions requiring a specific acquisition DPA) shall be submitted in the format prescribed in this NHB. Each FRDD shall be accompanied with all required enclosures and attachments, in final form.
2. These FRDD's should be submitted to HQS for approval as soon as, but not before, all required analyses are completed at the Installation level. Accordingly, FRDD's should ideally be submitted for approval before the APR; notwithstanding, at the SIIO's option, they can be submitted along with the APR for concurrent review and approval.
3. These FRDD's shall be signed by the SIIO and submitted to the cognizant SPIO (or Code JT for HQS acquisitions) for review and approval. Note that Code JT will only review and concur in FRDD's submitted by the SIIO for Code J; Code JT will not approve FRDD's. The DSO will approve FRDD's submitted by the SIIO for Code J.
4. A signed original and 4 copies of each FRDD shall be submitted to the IPO (or Code JT for HQS acquisitions). The SPIO (or Code JT for HQS acquisitions) shall distribute each FRDD to Codes JT and HS and to other funding HQS Program Offices for review and concurrence. Codes JT and HS and other HQS offices are responsible for providing comments to the SPIO. The SPIO is responsible for establishing the length of the comment period; however, such should not be less than 10 workdays. Comments shall be submitted back to the SPIO under one of the following notations:
 - a. Concur (no comments);
 - b. Concur, with comments; or
 - c. Nonconcur. The reasons for the nonconcurrence shall be provided.
5. The SPIO (or Code JT for HQS acquisitions) shall coordinate among the HQS offices reviewing the FRDD and collect and provide comments back to the SIIO on changes required to be made in the FRDD. The SPIO shall decide whether corrections can be made by page changes or whether a resubmission of the FRDD is required. Copies of all page changes or resubmissions shall be given to those HQS offices receiving a copy of the initial FRDD submission.

Enclosure C-3—Detailed Procedures for Processing FRDD's, APR's, and DPA's

6. FRDD's shall be approved in writing by their cognizant SPIO (Code JT will either concur, concur with comment, or nonconcur on FRDD's submitted by Code J and forward to the DSO for approval) and transmitted to the SIO with a copy of the approval letter given to Code JT.
7. The approved FRDD, including its enclosures and attachments, is an enclosure to the APR and shall be submitted along with APR's submitted to HQS.

Processing Agency Procurement Requests (APR's) and Delegations of Procurement Authority (DPA's)

1. All APR's, other than those for Trail Boss Delegations, shall be submitted in the format prescribed in FIRMR Bulletin C-5 as modified by Enclosure C-4B. Trail Boss APR's shall be submitted in the format prescribed in FIRMR Bulletin C-7 as modified by Enclosure C-5A. APR processing tasks, with the recommended time required to complete each task as well as the total elapsed time, are shown in Exhibit C-1 on page C3-3. This timetable is for a non-Trail Boss submission that requires concurrent approval of the FRDD, and which has deficiencies, inconsistencies, or ambiguities in the various documents that must be corrected or reconciled.
2. Except for Trail Boss acquisitions, the PO shall transmit the original of the APR submission (the APR and all required documentation in final form) to the cognizant IPO, with a transmission letter. The SIO will concur on the transmission letter. This authority may not be redelegated. For Trail Boss acquisitions, the process is reversed. The SIO shall transmit the APR to the cognizant IPO with a transmission letter. The PO will concur on the transmission letter. This authority may not be redelegated. (Generally, throughout the remainder of this Enclosure, except as indicated, for Trail Boss acquisitions read "Trail Boss" in lieu of "PO." The cognizant IPO's for this purpose are the following:
 - a. Code MV for JSC, KSC, MSFC, SSC, and Space Station Freedom Program Office (Reston)
 - b. Code RI for ARC, LaRC, and LeRC
 - c. Code SP for GSFC

For HQS acquisitions the Director, HQS Acquisition Division, shall submit APR's directly to Code JT after concurrence by the SIO in Code J.

3. Concurrently, the PO (or SIO for Trail Boss acquisitions) shall send a copy of the APR submission (including the transmission letter, the APR, and all required documentation in final form) to Codes JT and HS. The SPIO shall distribute copies of the APR and appropriate documentation to any other HQS Program Office expected to provide funding (for example, Code OS). The PO shall also send to the SPIO a diskette, formatted for use on an IBM or compatible PC, that contains either a WordPerfect 5.0 or an ASCII text copy of the APR.
4. APR's should be submitted as soon as, but not before, the FRDD and other documentation (waivers, JOFOC's, procurement plans or ASM, as appropriate) have been completed and approved (final within the Agency). An APR serves to ensure that the requirements leading to the acquisition have been reviewed and validated and that compliance with all applicable directives has been achieved; also that the IRM and acquisition strategies are integrated. Accordingly, with the

Exhibit C-1. Timeline for Completion of APR Processing Tasks

APR Processing Tasks	Time Required for Each Task (Days)	Total Elapsed Work Days
Installation PO submits APR and all related documents to IPO, Codes JT and HS	1	- 6
— Mailing time —	5	- 5
Processing begins		
Documents logged in and checked by HQS Offices	0	1
SPIO establishes coordination liaison with Codes JT, HS, and other HQS funding Program Offices	1	2
Initial HQS analysis and documentation of any problems	5	7
HQS offices meet to compare notes and define issues	1	8
Issues and problems relayed to Installation PO for resolution (Teleconference, ViTS Conference, and so on)	1	9
— Time for Installation to develop responses —	7	16
Installation PO sends complete responses to HQS	1	17
— Mailing time —	3	20
HQS review of Installation responses	4	24
HQS offices meet to compare notes and define issues	1	25
Conference with HQS offices and Installation personnel	1	26
— Time for Installation to develop responses —	3	29
Installation PO sends final response to HQS	1	30
— Mailing time —	3	33
SPIO works with various HQS offices to resolve problems	2	35
SPIO submits APR package to Code JT	1	36
Code JT review of APR package	2	38
— Time to resolve any last minute problems —	5	43
Code JT finalizes preparation of APR package for submission to GSA	1	44
APR formally submitted to GSA	1	45

exception of Trail Boss APR's (drafts of Trail Boss APR documentation will be reviewed by HQS before HQS decides whether to select the acquisition for the program), absolutely no APR submission will be acted upon without complete documentation. The transmission letter should indicate when the procurement plan was approved or when the ASM was conducted and the minutes

Enclosure C-3—Detailed Procedures for Processing FRDD's, APR's, and DPA's

approved. GSA has informed NASA it will not accept drafts of any APR, enclosure, or other document it requires or requests to process an APR.

- Do not show the existence of documents that are not required (for example, a conversion study for a FIP equipment support services—that is, maintenance—contract). The matrix in Exhibit C-2 below is provided to help in deciding whether a document is required.

Exhibit C-2. Required Documentation Matrix for FIP-Related Material

Type of Requirement	Documentation Items										
	1	2	3	4	5	6	7	8	9	10	11
FIP Equipment	R	R	A	S	P	P	P	C	C	C	T
FIP Software	R	R	A	S	P	P	P	C	C	C	T
FIP Services	R	R	A	S	P	N	P	C	C	C	T
FIP Support Services	R	R	N	N	P	N	P	N	N	N	T
FIP Related Supplies	R	R	N	N	P	P	P	N	N	N	T

Documentation Items Legend:

- Requirements Analysis (FRDD Part 2)
- Analysis of Alternatives (FRDD Part 3)
- Determination to support compatibility-limited requirements [refer to conversion study or determinate in FRDD, Part 2 (20.103-4)]
- Conversion Study [Must be performed unless 1 of the 3 exceptions in FIRM 201-20.203-4 (b) applies (an Enclosure to the FRDD, Part 3 (20.203-4). Relative to software, a conversion study is required when compatibility to a proprietary system is required and the existence of user-developed products requires restricting the competition.]
- Certified data to support a requirement available from only one responsible source [the JOFOD is an enclosure to APR (see 20.103-5)]
- Certified data to support a requirement using a specific make and model specification [the JOFOD is an enclosure to APR (see 20.103-5)]
- Description of planned actions to foster competition for subsequent acquisitions [refer to the JOFOD; recompetition plans, if deemed appropriate, should be included (see 20.103-5)]
- Justification for more than one agency to provide switching facilities or services at building locations [see part of FIRM 201-20.305-1 (a) (1) (i) after semicolon (;) and Subsection 24.102]
- Exception to Mandatory-for-Use of the FTS2000 network [FIRM 201-20.305-1 (a) (1) (ii) and FIRM 201-24.101-1 (b)]
- Exception to Mandatory-for-Use of GSA local telecommunications services [FIRM 201-20.305-1 (a) (1) (ii) and FIRM 201-24.102 (c)]
- Trail Boss Charter and Statement of Qualification

R = Required
A = Required if there are compatibility-limited requirements
N = Not required
P = Required unless full and open competition
C = Required if exceptions to Mandatory-for-Use GSA telecommunications services are sought
S = Required if conditions for conversion study hold for equipment, software, or services
T = Required for a Trail Boss Acquisition

6. A DPA is granted on the basis of information contained in the APR. An amendment to a DPA must be obtained whenever any material change is expected from the basis on which the DPA was granted. This applies to any specific acquisition DPA, including Trail Boss DPA's. An APR shall be used to accomplish this.

— NOTE —

The authority to add a new work modification to an existing contract under a specific acquisition DPA shall be processed as an amendment to the existing DPA.

7. Amendments to a previously submitted or approved specific acquisition DPA should follow the same procedures and employ the same format as that required by the current FIRMR and this NHB. For such an APR, provide only that information necessary to update the original APR and only such other information as needed to support the amendment. Explain why the amendment is necessary. An amended FRDD shall accompany the APR. The existing documentation supporting the acquisition should be reviewed and certified as to its timeliness. If it is not current and is affected by the amendment or vice versa, the documentation shall be revised. If an original document was submitted or requested by HQS or GSA, its revision shall be resubmitted with the APR.
8. The following are reasons for submitting an APR to seek an amended DPA:
 - a. Any substantial changes in contract performance, including all new work modifications, and any changes that affect the scope, quantity, quality, cost, term, and delivery not estimated in the APR at the time the solicitation was released and priced at the time the contract was signed.
 - b. Any substantial change in acquisition strategy.
 - c. Substantial slippages (more than 12 months) in the solicitation schedule affecting specifically the dates to release the solicitation, to receive bids or proposals, to complete the evaluations and select, and to make an award. Slippages less than 12 months should be identified to GSA during routine status reporting.
 - d. Any increase in the total FIP resources, exceeding the delegated authority.
 - e. PO's or designees should inform Code JT of any expected decreases greater than 25 percent in the total FIP resources to be acquired on a DPA. Code JT will determine whether GSA should be informed of such decreases.

Changes in the position title or organizational identity of the official authorized to conduct the acquisition should be identified to GSA during routine status reporting.

9. Upon receipt of an APR package, the SPIO or designee shall do the following:
 - a. conduct a programmatic (that is, technical and funding) review of the package;
 - b. coordinate programmatic issues related to the package with any other Program Offices providing funding;
 - c. coordinate procurement and IRM issues related to the package with Codes HS and JT; and
 - d. resolve any problems with the Installations, including reconciling deficiencies, inaccuracies, and ambiguities with and among the various documents of the APR submission.

The PO or designee is the Installation point of contact for coordinating the resolution of problems concerning the APR submission at the Installation (including the FRDD). The PO or designee is responsible for sending an updated diskette of the APR to HQS, if necessary.

10. Following HQS concurrence, SPIO's shall submit, with a transmission letter, a final APR package to Code JT and notify Code HS that the package has been submitted to Code JT. The package shall include a diskette, formatted as required by paragraph 3, containing the final APR. The package shall include the formal concurrences of the IPO, of all funding Program Offices, and of Code HS. The transmission letter shall indicate the IPO's and funding Program Offices' level of funding support. The APR may request a DPA for an amount greater than the IPO or funding Program Offices are willing to fund at the time of approval. This indication of funding support gives the IPO (and others) an opportunity to control spending without reducing the DPA.
11. Upon receipt of an APR package from an IPO, Code JT shall do the following:
 - a. conduct a final review of the package;
 - b. determine whether the package is adequate for submission to GSA. If substantive deficiencies are discovered, Code JT will document the problems, discuss them with the responsible SPIO, and, if necessary, return the package to the SPIO for resolution;
 - c. secure the DSO's or designee's approval of the APR;
 - d. submit the APR and necessary documentation to GSA (concurrently, Code JT will provide a copy of the transmitted APR to Code HS, the SPIO, and the Installation PO);
 - e. coordinate the resolution of issues raised by GSA with affected HQS Offices and the Installation; and
 - f. keep the SPIO and Installation PO or designee informed on the status of the APR.
12. Upon receipt of a specific DPA from GSA, Code JT shall send a copy of the DPA (including the associated APR) to the responsible IPO for review and possible augmentation. Code JT shall also

send a copy of the DPA (including the associated APR) to any other HQS Program Offices providing funding for the DPA and Code HS.

13. The SPIO shall review a DPA in cooperation with any other funding HQS Program Offices. An SPIO may request to modify a DPA, not inconsistent with its terms and conditions, with the concurrences of Codes JT and HS. The request to modify the DPA and the conditions to be placed on the DPA shall be sent in writing to Code JT, with a copy to Code HS. Code JT shall secure Code HS's concurrence.
14. The DSO or designee will redelegate the DPA with any agreed-to augmentations to the Installation PO (or to the Trail Boss). Code JT is responsible for making the appropriate modifications to the DPA and for preparing the redelegation letter. A copy of the DPA and redelegation will be provided to the IPO and Code HS.
15. The Installation PO or designee shall provide 6-month status reports up to the award of the contract action as required by this NHB.
16. The PO or designee shall provide the contract award information as required by the DPA and this NHB within 30 days of contract award or contract amendment. Code JT will review the information to determine whether the contract or modification was made in strict accordance with the specific acquisition DPA. Any problems will be referred to the IPO (or other appropriate office) for resolution. When all problems are resolved, Code JT will send the information to GSA.

See Exhibit C-3 on page C3-8 for a graphic depiction of the APR/DPA flow through the Agency.



ENCLOSURE C-4A

INSTALLATION APR TRANSMITTAL LETTER

TO: *[SENIOR PROGRAM IRM OFFICIAL]* *[DATE]*

FROM: *[INSTALLATION PROCUREMENT OFFICER]*

SUBJECT: Agency Procurement Request for *[TITLE OF ACQUISITION; SAME AS IN PARAGRAPH 2A OF THE APR]*

Request the enclosed Agency Procurement Request (APR) for *[TITLE OF ACQUISITION; SAME AS IN PARAGRAPH 2A OF THE APR]* be submitted to the General Services Administration for a Delegation of Procurement Authority fully consistent with the APR to acquire Federal Information Processing (FIP) resources in an amount not greater than \$*[TOTAL DOLLAR VALUE FOR FIP RESOURCES IN PARAGRAPH 6 OF THE APR]*.

[MODIFY THE FOLLOWING AS APPROPRIATE]

Except as indicated below, enclosed is all documentation required to be submitted along with the APR by FIRMR Bulletin C-5 and NHB 2410.1. The following is a discussion of the relevant documentation. *[IF NECESSARY, THIS IS WHERE ANY RECONCILIATION OF INCONSISTENCIES AMONG THE DOCUMENTATION SHOULD OCCUR.]*

a. *[SELECT ONE OF THE FOLLOWING THREE]*

A FIP Resources Decision Document was approved by you on *[DATE]*. There have been no substantive changes. Please refer to your copy in processing this APR; a copy is not enclosed.

Enclosed is an amended FIP Resources Decision Document (FRDD). There have been changes in the acquisition that substantively affect the previously approved FRDD. The changes are enclosed for your review and approval.

Enclosed is a FIP Resources Decision Document for your review and approval.

The preparation time for the FRDD was *[DAYS]*. The FRDD started through the concurrence cycle at the Installation on *[DATE]*. It was concurred in by the Senior Installation IRM Official on *[DATE]*.

b. *[SELECT ONE]*

An Acquisition Strategy Meeting was conducted at Headquarters on *[DATE]*; the minutes were approved on *[DATE]*. Please refer to your copy of the minutes in processing this APR; a copy is not enclosed.

Enclosure C-4A—Installation APR Transmittal Letter

An Acquisition Strategy Meeting is (or will be) scheduled to be conducted at Headquarters on [DATE].

A Procurement Plan was approved by Code HS on [DATE]; a copy is enclosed.

A Procurement Plan was submitted to Code HS on [DATE] for review and approval; a copy is enclosed.

Headquarters review and approval of the procurement plan/acquisition strategy was delegated to [the] Installation. The Installation approved the acquisition strategy on [DATE]. A copy of the documentation is not required to be submitted.

c. *[SELECT ONE, IF APPROPRIATE]*

A Justification for Other than Full and Open Competition was approved at the Installation on [DATE]; a copy is enclosed.

A Justification for Other than Full and Open Competition was approved by Code HS on [DATE]; a copy is enclosed.

The Justification for Other than Full and Open Competition, approved at the Installation on [DATE], has been submitted to Code HS for its approval concurrently with this APR. A copy is enclosed.

d. *[ADD OTHER SUBPARAGRAPHS AS NEEDED TO DISCUSS THE REQUIRED ENCLOSURES]*

e. A 5¼-inch or 3½-inch floppy diskette in the prescribed format with a copy of the APR is enclosed.

All other documentation required by the Federal Information Resources Management Regulation and NHB 2410.1 in support of this acquisition is available at the Installation. *[EXCEPTIONS SHOULD BE NOTED BELOW.]*

Questions concerning this APR should be directed to [NAME] at [PHONE NUMBER]. *[THIS SHOULD BE ONE OF THE TWO NAMES IN PARAGRAPH 1D OF THE APR.]*

[PROCUREMENT OFFICER]

CONCUR:

[SENIOR INSTALLATION IRM OFFICIAL]

ENCLOSURES:

1. Agency Procurement Request
2. *[LIST OTHER ENCLOSURES, AS APPROPRIATE]*

— NOTE —

Codes HS and JT receive a copy of all Enclosures, except the floppy diskette.

cc: HS/Director, Program Operations Division
JT/Director, Information Resources Management Division

ENCLOSURE C-4B

MODIFIED AGENCY PROCUREMENT REQUEST FORMAT (NON-TRAIL BOSS)

The format and content requirements of FIRM Bulletin C-5 are modified and augmented as follows. The Agency shall comply with the following APR format and use the following clarification in augmenting the descriptive requirements of the subject Bulletin.

— NOTE —

The APR Control Number is assigned by Code JT. APR's shall comply with the correspondence procedures set forth in NHB 1450.10, NASA Correspondence Handbook.

NATIONAL AERONAUTICS AND SPACE ADMINISTRATION
AGENCY PROCUREMENT REQUEST
(APR CONTROL NUMBER JT-)

1. NASA INFORMATION.

- a. **Agency.** National Aeronautics and Space Administration.
- b. **Installation.** *[Name of the Installation conducting the acquisition and the name of all Installations at which FIP resources may be delivered or services performed.]*
- c. **NASA Point of Contact.** *[Name, address, and phone number of the Code JT analyst for the Installation conducting the acquisition. Code JT will provide the Installations this information on a periodic basis.]*
- d. **Installation Contracting Officials.**
 - (1) **Contracting Officer.** *[Name, address, and phone number of the Contracting Officer at the Installation who is responsible for the acquisition and who probably will exercise the Delegation of Procurement Authority (DPA).]*
 - (2) **Contracting Specialist.** *[Also include the name, address, and phone number of the Contracting Specialist at the Installation who is responsible for the day-to-day prosecution of the acquisition, if different from the Contracting Officer.]*
- e. **Installation Technical Official.** *[Name, address, and phone number of the official at the Installation who is primarily responsible for conducting the requirements analysis and for assuring that the acquisition satisfies those requirements. Typically, this person will also be the Contracting Officer's Technical Representative.]*

- f. **Installation Senior Program Official.** *[Name, address, and phone number of the official at the Installation who directly manages the program(s) to be supported by the acquisition. Typically, this will be a Division Director or higher, who has programmatic authority over the expenditure of the funds supporting the acquisition.]*
- g. **Organizational Structure.** *[A brief description of the roles and responsibilities of the Installation contracting, technical, and senior program officials responsible for the acquisition. Cover presolicitation, solicitation, and post-award/contract administration activities. If requesting authority for greater than \$25 million, include 2 Attachments: (1) a graphic depiction (that is, a diagram) indicating the organizational and reporting structure of the Installation contracting, technical, and senior program officials responsible for the acquisition; and (2) resumes of the Installation contracting, technical, and senior program officials.]*

2. **PROJECT TITLE AND DESCRIPTION.**

- a. **Acquisition title.** *[State the title of the acquisition.]*
- b. **Description of the acquisition.** *[Briefly describe the purpose of the acquisition, the term of the contract(s) to be awarded (including the base period plus all option periods), the type of pricing/costing scheme to be used (for example, cost-plus-fixed-fee, firm-fixed-price, and so on), and whether the acquisition is a completion, task order, or other contract type.]*
- c. **Description of programs/missions supported.** *[Briefly describe the Installation and/or Agency programs and missions which will be supported by the acquisition.]*
- d. **Purpose of this APR.** *[Briefly describe why a DPA is being requested. Indicate whether this is an original request, an amendment to a previous APR, an amendment to a previously granted DPA, in support of a ratification, and so on.]*

3. **CURRENT SUPPORT.** *[Briefly, but specifically, describe the FIP resources that currently support the programs/missions discussed in paragraph 2c, above. Use of a table is recommended.]*

4. **FIP RESOURCES TO BE ACQUIRED.**

- a. **FIP resources.** *[Briefly, but specifically, describe FIP resources that will be acquired to support programs/missions discussed in paragraph 2c, above. Use of a table is recommended.]*
- b. **How changing requirements will be satisfied.** *[Briefly describe how changing program/mission requirements will be accommodated during the term of the acquisition. If technology refreshment provisions will be used during the term of the contract, specifically discuss how such provisions will be used and the strategies to be used to assure that the prices/costs to be paid are reasonable.]*

5. CONTRACTING APPROACH.a. **Statements concerning restrictive specifications and competition.**

- (1) Specifications. *[Explicitly state whether the acquisition employs specific make or model or compatibility-limited specifications, or whether the specifications can be satisfied by only one responsible source.]*
- (2) Competition. *[Indicate whether the acquisition contemplates contracting under policies and procedures for full and open competition, full and open competition after exclusion of sources, or other than full and open competition (cite authority).]*

b. **Schedule.** *[Indicate by fiscal year quarters (for example, 2nd QTR FY 93) when the following will be accomplished.]*

- (1) Release of solicitation:
- (2) Award of contract:

c. **Pilot or prototype.**6. ESTIMATED CONTRACT LIFE AND COST. *[Employ a table as below to provide this information.]*

TYPE OF RESOURCE	Estimated Contract Cost (in Millions)	Estimated Contract Life (in Years)
<u>FIP Equipment</u> Basic Option Subtotal		
<u>FIP Software</u> Basic Option Subtotal		
<u>FIP Services</u> Basic Option Subtotal		
<u>FIP Support Services</u> Basic Option Subtotal		

Enclosure C-4B—Modified Agency Procurement Request Format (Non-trail Boss)

TYPE OF RESOURCE	Estimated Contract Cost (in Millions)	Estimated Contract Life (in Years)
<u>FIP Related Supplies</u>		
Basic		
Option		
Subtotal		
TOTAL FIP RESOURCES <i>[THIS FIGURE SHOULD BE THE SAME AS IN YOUR TRANSMITTAL LETTER]</i>		
TOTAL NON-FIP RESOURCES		
TOTAL CONTRACT COST		

7. REGULATORY COMPLIANCE.

- a. **Regulatory compliance certification.** *[Include the following certification: "Except as indicated in 7b, below, the Agency has reviewed and complied (or will comply) with all Federal regulations applying to this request."]*
- b. **Regulatory deviations required.** *[List all Federal regulations that (or that will) require a deviation. For deviations which GSA may grant, deviation requests should accompany the APR, if not previously submitted to GSA. Indicate how and if (or when) deviations from such other Federal regulations have been (or will be) acquired. If none, so state.]*
- c. **Documentation.** *[Indicate by fiscal year quarters (for example, 2nd QTR FY 93) when the documentation in paragraph 7b of FIRMR Bulletin C-5 will be accomplished. Only certain of the documentation must accompany the APR; see Attachment 3 note.]*

8. NASA REMARKS. *[Provide any other information you believe appropriate to clarify your request.]*

9. NASA/GSA REFERENCES. *[Also provide references to NASA APR Control Numbers.]*

10. AUTHORIZATION:

— NOTE —

Leave signature blank open; Code JT will provide appropriate signature block. Submit the APR along with all required documentation with a transmission letter signed by the Procurement Officer and concurred in by the Senior Installation IRM Official.

Attachments:

1. Graphic Depiction of Organizational Structure (if greater than \$25 million)
2. Resumes of Installation contracting, technical, and senior program officials responsible for the acquisition (if greater than \$25 million)
3. *[LIST AND ATTACH ALL DOCUMENTATION REQUIRED TO BE COMPLETED BY PARAGRAPH 7B OF FIRMR BULLETIN C-5, AS APPLICABLE, EXCEPT REQUIREMENTS ANALYSES, ANALYSES OF ALTERNATIVES, DETERMINATIONS TO SUPPORT COMPATIBILITY-LIMITED REQUIREMENTS, AND CONVERSION STUDIES]*

ENCLOSURE C-4C

SPIO APR TRANSMITTAL LETTER

[DATE]

TO: J/Associate Administrator for Management Systems and Facilities

FROM: [SENIOR PROGRAM IRM OFFICIAL]

SUBJECT: Agency Procurement Request for [TITLE OF ACQUISITION; SAME AS IN PARAGRAPH 2A OF THE APR]

Request the enclosed Agency Procurement Request (APR) for [TITLE OF ACQUISITION; SAME AS IN PARAGRAPH 2A OF THE APR] be submitted to the General Services Administration for a Delegation of Procurement Authority fully consistent with the APR to acquire Federal Information Processing (FIP) resources in an amount not greater than \$[TOTAL DOLLAR VALUE FOR FIP RESOURCES IN PARAGRAPH 6 OF THE APR].

[MODIFY THE FOLLOWING AS APPROPRIATE]

Except as indicated below, enclosed is all documentation required to be submitted along with the APR by FIRMR Bulletin C-5 and NHB 2410.1. The following is a discussion of the relevant documentation. [IF NECESSARY, THIS IS WHERE ANY RECONCILIATION OF INCONSISTENCIES AMONG THE DOCUMENTATION SHOULD OCCUR.]

- a. Enclosed is a copy of the final approved FIP Resources Decision Document.

The preparation time for the FRDD was [DAYS]. The FRDD started through the concurrence cycle at the Installation on [DATE]. It was concurred in by the Senior Installation IRM Official on [DATE]. It was received by me on [DATE]. It was approved by me on [DATE].

- b. [SELECT ONE]

Enclosed is a copy of the minutes of an Acquisition Strategy Meeting approved by Code HS on [DATE] for the subject acquisition.

Enclosed is a copy of the Procurement Plan approved by Code HS on [DATE] for the subject acquisition.

Headquarters review and approval of the procurement plan/acquisition strategy for the subject acquisition was delegated to the Installation. The Installation approved the procurement plan/acquisition strategy on [DATE]. A copy of the documentation is not required to be submitted.

c. *[SELECT ONE, IF APPROPRIATE]*

A Justification for Other than Full and Open Competition was approved at the Installation on *[DATE]*; a copy is enclosed.

A Justification for Other than Full and Open Competition was approved by Code HS on *[DATE]*; a copy is enclosed.

d. *[ADD OTHER SUBPARAGRAPHS AS NEEDED TO DISCUSS THE REQUIRED ENCLOSURES]*

e. A 5¼-inch or 3½-inch floppy diskette in the prescribed format with a copy of the final APR is enclosed.

All other documentation required by the Federal Information Resources Management Regulation and NHB 2410.1 in support of this acquisition is available at the Installation. *[EXCEPTIONS SHOULD BE NOTED BELOW.]*

All affected funding Program Offices concur with the APR. Code HS concurs with the APR.

[INDICATE ANY CONDITIONS THE DPA SHOULD CONTAIN UPON REDELEGATION TO THE INSTALLATION.]

Questions concerning this APR should be directed to *[NAME]* at *[PHONE NUMBER]*.

[SENIOR PROGRAM IRM OFFICIAL]

ENCLOSURES:

1. Agency Procurement Request
2. *[LIST OTHER ENCLOSURES, AS APPROPRIATE]*

cc: HS/Director, Program Operations Division
[OTHER FUNDING PROGRAM OFFICES]

ENCLOSURE C-4D

SAMPLE AGENCY PROCUREMENT REQUEST (NON-TRAIL BOSS)

NATIONAL AERONAUTICS AND SPACE ADMINISTRATION
AGENCY PROCUREMENT REQUEST
(Control No. JT-30)

1. NASA INFORMATION:

- a. **Agency:** National Aeronautics and Space Administration
- b. **Installation:** NASA Lewis Research Center (LeRC), Cleveland, Ohio, 44135
- c. **NASA Point of Contact for GSA:** Mr. John Doe, NASA Headquarters, Code JTD, Washington, DC 20546, (202) 453-1775
- d. **Installation Contracting Officials:**
 - (1) Mrs. Susan Henry, Contracting Officer, Code 3360, FTS 297-2750
 - (2) Ms. Mary Smith, Contract Specialist, Code 3360, FTS 297-2700
- e. **Installation Technical Contact:** Mr. Joe Dokes, Contracting Officer's Technical Representative, Code 1350, FTS 297-5100
- f. **Installation Senior Program Official:** Mr. Frank Simmons, Director, Computer Services Division, Code 1300, FTS 297-3901.
- g. **Organizational Structure:** The NASA Lewis Research Center is a NASA Installation. LeRC conducts research and development programs in civil and military aeronautics propulsion, communications, and power systems, and project activities in support of the Space Station and expendable launch vehicles.

Several elements of the Computer Services Division provide technical support for the Lewis Information Management System (LIMS), under the overall direction of the LIMS Project Office in the Special Projects Branch.

Contract administration is provided by the Contract Specialist, the Contracting Officer, and staff in the Financial Management Division and the Office of Chief Counsel. Attachment 1 depicts the organizational structure responsible for this acquisition. Attachment 2 contains resumes of the principals responsible for this acquisition.

2. **PROJECT TITLE AND DESCRIPTION:**

a. **Acquisition title:** Lewis Information Management System (LIMS), Contract Number NAS3-25160.

b. **Description of acquisition:**

- (1) The LIMS contract was awarded on May 1, 1987 to Electronic Data Systems Federal Corporation (EDSFC). It has the following characteristics:
 - (a) The basic period of the contract is 1 year with four 1-year option periods.
 - (b) The contract requires that the contractor provide all of the FIP resources necessary to implement, maintain, and support LIMS.
 - (c) The contract contains firm, fixed price requirements for items such as central computer system hardware, training, and system maintenance; indefinite quantity requirements for items such as workstations, printers, and shared peripheral devices; and labor hour requirements for services such as movement of equipment and system integration and operation.
- (2) The scope of LIMS has 4 main elements:
 - (a) Provide a highly integrated system of automated tools to enable increases in productivity of executive, management, scientific or engineering, administrative, secretarial, and clerical personnel at LeRC.
 - (b) Provide the following core system functions:
 - LIMS system management
 - LIMS file management
 - Shared information processing
 - Data communications
 - Word processing
 - Electronic mail
 - Database management system
 - Office professional and administrative support
 - Graphics
 - (c) Provide an expandable system that will integrate new technologies, avoid technical obsolescence, and accommodate additional end users and system capabilities as needed. The LIMS contract contains a “changes” clause, an “engineering changes” clause, and a requirement for the contractor to perform semiannual technology assessments. The results of these technology assessments must be provided to LeRC for review and possible action.

(d) Provide a source of up to 3000 workstations.

c. **Description of programs and mission supported:** LIMS is an integrated system of automated tools supporting the entire LeRC Office population. Its objectives are to increase productivity by providing access to all LeRC computing services through a standard family of workstations and to provide a standardized set of core system functions (such as electronic mail, spreadsheets, and word processing). The system is available 24 hours a day, 7 days a week, except for periods of scheduled maintenance.

d. **Purpose of this APR:** This is a request to amend the Delegation of Procurement Authority (DPA) dated July 5, 1985. The amendment is needed because of increased contract costs. Further explanation regarding the necessity of the amendment is set forth in Paragraph 8 below.

3. CURRENT SUPPORT:

As of October 1990, the following FIP resources have been acquired under the contract:

- a. Central CPU cluster: three Digital Equipment Corporation (DEC) VAX 8650 units
- b. 175 Intel 8088-based workstations
- c. 1821 Intel 80286-based workstations
- d. 936 printers (local, line, and high-quality)
- e. Communication network (bridges, controllers, transceiver devices, cable plant, cable drops)
- f. 143 shared peripheral devices (plotters, desktop scanners, and large-screen videos)
- g. System maintenance
- h. System installation, integration, operation, and technology assessment services
- i. Training
- j. CPU cluster and workstation software

4. FIP RESOURCES TO BE ACQUIRED:

a. **FIP Resources:** In addition to those FIP resources set forth in paragraph 3 above, LeRC desires to obtain the following under the LIMS contract:

- (1) 700 Intel 80X86-based workstations
- (2) 300 Motorola 680X0-based workstations
- (3) 600 additional memory options
- (4) 420 additional mass storage options

b. **How Changing Requirements Will Be Satisfied:** Changing requirements will be satisfied through the technology assessment and engineering change proposal provision in the contract.

5. CONTRACTING APPROACH:

a. **Statements concerning restrictive specifications and competition:**

- (1) The acquisition does not employ specific make or model specifications. The acquisition employs compatibility-limited specifications. The specifications can be satisfied by more than one responsible source.
- (2) This will be effected as an in-scope change to the existing contract.

b. **Schedule:**

- (1) Release of solicitation 2ND QTR FY 91
- (2) Award of contract modification 3RD QTR FY 91

c. **Pilot or Prototype Considerations:** Pilot and prototype strategies will not be used.

6. ESTIMATED CONTRACT LIFE AND COST:

Exhibit C-4 on page C4D-5 gives the estimated contract life and cost for a sample FIP acquisition of equipment, software and resources. (See note at the bottom of exhibit.)

— NOTE —
Provision of a brief statement of what the costs will acquire is not required, but is recommended.

7. REGULATORY COMPLIANCE:

a. **Regulatory compliance certification:** Except as indicated in 7b, below, NASA has reviewed and complied with or will comply with all Federal regulations applying to this request.

b. **Regulatory deviations required:** None.

c. **Documentation:**

- (1) Requirements analysis July 17, 1990
- (2) Analysis of alternatives April 11, 1985
- (3) Determination to support the use of compatibility limited requirements June 1, 1990
- (4) Conversion study March 12, 1990
- (5) Certified data to support any requirements available from only one responsible source N/A
- (6) Certified data to support any use of a specific make and model specification N/A

Exhibit C-4. Estimated Contract Life and Cost for Sample FIP Acquisition

TYPE OF RESOURCE	Estimated Contract Cost (in Millions)	Estimated Contract Life (in Years)
<i>FIP Equipment:</i> Central CPU cluster workstations, printers, plotters, communication network, and shared peripheral devices. (Options include workstations, printers, plotters, and shared peripheral devices.)		
Basic	\$ 7.2	1
Options	\$27.9	4
FIP Equipment Subtotal	\$35.1	5
<i>FIP Software:</i> Central CPU cluster and workstation.		
Basic	\$ 1.4	1
Options	\$ 4.0	4
FIP Software Subtotal	\$5.4	5
<i>FIP Support Services:</i> Installation, training, software maintenance, technology assessment, and system monitoring.		
Basic	\$ 2.3	1
Options	\$19.5	4
FIP Support Services Subtotal	\$21.8	5
TOTAL FIP RESOURCES	\$62.3	5
TOTAL NON-FIP RESOURCES	0	
TOTAL CONTRACT COST	\$62.3	5
<i>Note:</i> The current estimated total contract life cost is \$42.1 million. Therefore, this \$62.3 million figure represents an increase of \$20.2 million for the remaining 18 months of the contract.		

- (7) Description of planned actions necessary to foster competition
for subsequent acquisitions May 1, 1985
amended June 1, 1990
- (8) Justification for more than one agency to provide switching
facilities or services at building locations N/A
- (9) Exception to the use of FTS2000 mandatory network services N/A
- (10) Exception to the use of GSA mandatory consolidated local
telecommunications services N/A

8. **NASA REMARKS:** This amendment is necessary if LIMS is to keep pace with the rapid evolution of hardware and software technology. As stated in Paragraph 2 above, integrating new technologies and avoiding technical obsolescence are explicitly stated objectives of the LIMS contract.

Since the award of the contract in 1987, technology in the industry has been evolving towards—

- a. Intel 80386-based hardware;
- b. graphical user interfaces (Intel 80386 & Motorola 68030);
- c. platform independence of products and services; and
- d. higher definition output devices.

Incorporating these new technologies into the LIMS will benefit LeRC by—

- a. providing cost-effective solutions to today's problems with hardware and software that will be useful tomorrow;
- b. recognizing evolving industry standards and moving in concert with them; and
- c. providing the advantages associated with the growing platform independence of products and services.

Attachment 4 to this APR contains a series of charts that—

- a. set forth the desired contract changes and their associated dollar values;
- b. provide expanded rationale for the desired changes;
- c. explain the technology assessment process and the results of this process to date; and
- d. provide the contractor's pricing and price reduction information. The charts also provide price reduction information and price comparison information for Intel 80386 based workstations, Motorola 68030 based workstations, and various other equipment.

The changes desired are within the scope of the LIMS contract. The LIMS will remain a highly integrated system of automated tools after the changes are implemented. The core system functions will not be increased, decreased or revised by the changes. The LIMS will remain an expandable system and the 3,000-workstation maximum will not be exceeded by implementing the changes. Attachment 5 of this APR contains a legal opinion rendered by the LeRC Office of Chief Counsel with respect to the desired changes and the scope of the LIMS contract. The conclusions set forth in that document support our determination that the changes are within the scope of the LIMS contract.

9. **NASA/GSA REFERENCES:**

- a. GSA Case Number KMA-85-0416 & NASA Control Number 307: Delegation of Procurement Authority (DPA), July 5, 1985.
- b. GSA Case Number KMA-85-0416(A) & NASA Control Numbers 307(A), 307(B), 307(C), and 307(D): modification of DPA February 2, 1990.
- c. NASA Ratification of Unauthorized Commitment, March 23, 1990.

10. AUTHORIZATION:

ATTACHMENTS:

— NOTE —

Leave signature block open; Code JT will provide appropriate signature block. Submit the APR along with all documentation with a transmission letter signed by the PO and concurred in by the SIO.

C-4D Attachment 1: Graphic Depiction of Organizational Structure *[not included]*

C-4D Attachment 2: Resumes of Installation contracting, technical, and senior program officials *[not included]*

[Generally, résumés and organizational charts are only required if the APR is greater than \$25 million or specifically requested by GSA. In this case, GSA requested them.]

C-4D Attachment 3: Amendment to the LIMS Acquisition Plan *[not included]*

C-4D Attachment 4: Explanatory Charts *[not included]*

C-4D Attachment 5: Legal Opinion *[not included]*

ENCLOSURE C-5A

MODIFIED AGENCY PROCUREMENT REQUEST FORMAT (TRAIL BOSS)

The format and content requirements of FIRMR Bulletin C-7 are modified and augmented as follows. The Agency shall comply with the following APR format and use the following clarification in augmenting the descriptive requirements of the subject Bulletin.

— NOTE —

The APR Control Number is assigned by Code JT. APR's shall comply with the correspondence procedures set forth in NHB 1450.10, NASA Correspondence Handbook.

NATIONAL AERONAUTICS AND SPACE ADMINISTRATION
AGENCY PROCUREMENT REQUEST
(CONTROL NUMBER JT-)

1. NASA INFORMATION:

- a. **Agency.** National Aeronautics and Space Administration.
- b. **Installation.** *[Name of the Installation conducting the acquisition and the name of all Installations at which FIP resources may be delivered or services performed.]*
- c. **NASA Point of Contact.** *[Name, address, and phone number of the Code JT analyst for the Installation conducting the acquisition. Code JT will provide the Installations this information on a periodic basis.]*
- d. **Installation Officials.**
 - (1) Trail Boss. *[Name, address, and phone number of the proposed official at the Installation who will be accountable for the acquisition and who will receive the Delegation of Procurement Authority (DPA) from GSA through the DSO.]*
 - (2) Deputy Trail Boss (Contracting). *[Name, address, and phone number of the contracting officer at the Installation who is responsible for actually conducting the acquisition and to whom the Trail Boss will redelegate the DPA.]*
 - (3) Deputy Trail Boss (Technical). *[Name, address, and phone number of the official at the Installation who is primarily responsible for conducting the requirements analysis and for assuring that the acquisition satisfies those requirements. Typically, this person will be the Contracting Officer's Technical Representative.]*

2. **PROJECT TITLE AND DESCRIPTION:**

- a. **Acquisition title and description.** *[State the title of the acquisition and briefly describe its purpose.]*
- b. **Description of programs/missions supported.** *[Briefly describe the Installation and/or Agency programs and missions which will be supported by the acquisition.]*
- c. **Current support.** *[Briefly, but specifically, describe the FIP resources that currently support the programs/missions discussed in paragraph 2b, above.]*
- d. **FIP resources.** *[Briefly describe the major elements of FIP resources that will be acquired to support the programs/missions discussed in paragraph 2b, above.]*
- e. **Statements concerning restrictive specifications and competition.**
 - (1) **Specifications.** *[Explicitly state whether the acquisition will employ specific make or model or compatibility-limited specifications, or whether the specifications can be satisfied by only one responsible source.]*
 - (2) **Competition.** *[Indicate whether the acquisition contemplates contracting under policies and procedures for full and open competition, full and open competition after exclusion of sources, or other than full and open competition (cite authority).]*
- f. **Purpose of this APR.** *[Briefly describe why a DPA is being requested. Indicate whether this is an original request, wherein the purpose is to request a Trail Boss DPA, an amendment to a previous Trail Boss APR, or an amendment to a previously granted Trail Boss DPA.]*

3. **ESTIMATED ACQUISITION COSTS:** *[Employ a table as below to provide this information.]*

TYPE OF RESOURCE	Estimated Contract Cost (in Millions)	Estimated Contract Life (in Years)
<u>FIP Equipment</u> Basic Option Subtotal		
<u>FIP Software</u> Basic Option Subtotal		

TYPE OF RESOURCE	Estimated Contract Cost (in Millions)	Estimated Contract Life (in Years)
<u>FIP Services</u> Basic Option Subtotal		
<u>FIP Support Services</u> Basic Option Subtotal		
<u>FIP Related Supplies</u> Basic Option Subtotal		
TOTAL FIP RESOURCES		
TOTAL NON-FIP RESOURCES		
TOTAL CONTRACT COST		

4. **MAJOR MILESTONES:** *[Indicate by fiscal year quarters (for example, 2nd QTR FY 93) when the following will be accomplished. Suggest including other key milestones from submittal of the APR through completion of the contract, as appropriate. Where multiple prime contracts will be awarded, show their individual schedules, to the extent feasible.]*
 - a. Completion of presolicitation analyses and documentation.
 - b. Release of solicitation.
 - c. Award of contract.
 - d. Completion of contract.
5. **REGULATORY COMPLIANCE:** *[Include the following certification: "The Agency has reviewed and complied (or will comply) with all Federal regulations applying to this request or will obtain the appropriate deviations."]*
6. **NASA REMARKS:** *[Provide any other information you believe appropriate to clarify your request. Use this paragraph to discuss innovative acquisition strategies, proposals to expedite GSA's or the Agency's oversight, and so on.]*
7. **NASA/GSA REFERENCES:** *[Also provide references to NASA APR Control Numbers.]*

8. AUTHORIZATION:

ATTACHMENTS:

1. Trail Boss Charter
2. Statement of Qualifications of the Trail Boss

— NOTE —

Leave signature block open; Code JT will provide appropriate signature block. Submit the APR along with all documentation with a transmission letter signed by the SIO and concurred in by the PO.

ENCLOSURE C-5B

SAMPLE AGENCY PROCUREMENT REQUEST (TRAIL BOSS)

NATIONAL AERONAUTICS AND SPACE ADMINISTRATION
AGENCY PROCUREMENT REQUEST
(Control No. JT-42)

1. NASA INFORMATION:

- a. **Agency:** National Aeronautics and Space Administration
- b. **Installation:** Ames Research Center, Moffett Field, CA 94035
- c. **NASA Point of Contact for GSA:** Mr. Bob Miller, NASA Headquarters, Code JTD, Washington, DC 20546, (202) 453-1775
- d. **Installation Officials:**
 - (1) *Trail Boss:* Ms. Diane Johnson, Chief, Computer Systems and Research Division, Mail Stop 233-7, FTS 464-5100
 - (2) *Deputy Trail Boss (Contracting):* Mr. James Adams, Contracting Officer, Contract Management Branch for Aerophysics, Acquisition Division, Mail Stop 241-1, FTS 464-7000
 - (3) *Deputy Trail Boss (Technical):* Mr. Frank Jones, Computer Systems and Research Division, Mail Stop 233-10, FTS 464-5150

2. PROJECT TITLE AND DESCRIPTION:

- a. **Acquisition title and description:** Computational Capability Resources. The purpose of this procurement is to provide computational capability and the necessary resources for research activities requiring high performance computation with centralized storage.
- b. **Description of programs/missions supported:** This Ames Research Center (ARC) capability will continue to be provided under the auspices of the Computer Systems and Research Division's Central Computer Facility (CCF). Numerical simulation applications supported by the CCF require very high performance computing and data management. These applications require the highest speed vector and parallel compute engines available, and also require high speed access to very large data sets. The resultant computational capability will provide all the resources that approximately 800 to 1,000 researchers require to process large scale research and engineering applications in support of ARC missions, including computational fluid

dynamics, aerodynamics design and analysis, computational chemistry, astrophysics, atmospheric modelling, and satellite image processing.

- c. **Current support:** The technical services include the provision of the computational facility, the operational support and the systems engineering for that facility, and other aspects of the total computational environment. The management and administrative services include project management and administration, facilities support, support for the contract task order process, and technical, management and financial reporting.

The CCF currently includes the contractor-provided computational facility and other Government-owned equipment. The computational facility consists of a CRAY Y-MP8/832 with associated storage and a CRAY X-MP/18 that manages a mass storage facility. The Government-owned equipment consists of several DEC VAX minicomputers, a CONVEX, several high- and low-end workstations, file servers and computer servers. All systems including the computational facility are connected via DECnet, Ethernet, and HYPERchannel.

- d. **FIP Resources:** The minimum initial computational facility to be provided under the new contract will have the same performance, technical management and administrative services as the current facility.
- e. **Statements concerning restrictive specifications and competition:**
- (1) **Specifications:** This acquisition will not carry specific make and model or compatibility-limit specifications. Specification can be satisfied by more than one source.
 - (2) **Competition:** The acquisition contemplates contracting under policies and procedures for full and open competition.
- f. **Purpose of this APR:** This APR is submitted to establish a Trail Boss Program for the acquisition of computational capability resources for the CCF at NASA ARC.

3. ESTIMATED ACQUISITION COSTS:**Exhibit C-5.** *Estimated Contract Life and Cost for Second Sample FIP Acquisition*

TYPE OF RESOURCE	Estimated Contract Cost (in Millions)	Estimated Contract Life (in Years)
<u>FIP Services</u>		
Basic	\$ 95	4
Option	\$105	3
Subtotal	\$200	7
TOTAL FIP RESOURCES	\$200	7
TOTAL NON-FIP RESOURCES	0	
TOTAL CONTRACT COST	\$200	7

4. MAJOR MILESTONES:

- (a) Completion of Presolicitation Documentation 1ST QTR FY 91
- (b) Release of Solicitation 1ST QTR FY 91
- (c) Award of Contract 4TH QTR FY 91
- (d) Completion of Contract 4TH QTR FY 98

5. REGULATORY COMPLIANCE:

NASA has reviewed and complied (or will comply) with all Federal regulations applying to this request or will obtain the appropriate deviations.

6. NASA REMARKS: Applications for Trail Boss Program training (December 1990 session) have been submitted for the 2 Deputy Trail Bosses named in paragraph 1 above.

7. NASA/GSA REFERENCES: None.

8. AUTHORIZATION:ATTACHMENTS:

C-5B Attachment 1: Trail Boss Charter

C-5B Attachment 2: Statements of Qualifications (*for example, Résumés*)

— NOTE —

Leave signature block open; Code JT will provide appropriate signature block. Submit the APR along with all documentation with a transmission letter signed by the SIIO and concurred in by the PO.

C-5B ATTACHMENT 1—TRAIL BOSS CHARTER

1.0 PURPOSE OF THE TRAIL BOSS CHARTER

The purpose of this Trail Boss Charter is to establish the authority, responsibilities, and organization needed to manage the acquisition for computational capability as related to the Central Computing Facility at NASA's Ames Research Center (ARC). This acquisition will occur within the next 12 months. The Trail Boss activities will cover all phases of this acquisition.

Center management recognizes the importance of conducting Information Resources Management (IRM) acquisitions in a consistent, comprehensive manner, bringing to bear the best talents in both the technical and acquisition arenas. For this reason, the Center has chosen to define a Trail Boss program for the competition of Computational Capability as managed by the Computer Systems and Research Division. Through this approach, management will be able to ensure that it will benefit from previous experiences, will be based on consistent processes and procedures, and will utilize personnel with the best possible experience and knowledge. In this manner, it is believed that the acquisition can be conducted in concert with the regulations and in the most expeditious manner.

2.0 TRAIL BOSS STATUS AND LINE OF AUTHORITY

The Trail Boss reports to the Director of the Center at ARC. By virtue of her position as Chief, Computer Systems and Research Division, reporting to the Chief, Aerophysics Directorate (Code R), Ms. Diane Johnson has direct access to all personnel in that Division. The Aerophysics Directorate has primary responsibility for the planning, acquisition, and operation of all services and systems utilized in the provision of computational resources to ARC as well as for the major contracts that support these efforts. Code R also provides a focal point for ARC's IRM. This includes information systems planning, acquisition, security, and technology assessment. While the Aerophysics Directorate is the line organization that is responsible for these activities, Center management at ARC has determined that to provide access to all needed resources and to place higher visibility on this major acquisition, the Trail Boss will report to the Center Director, thereby assuring that the appropriate management attention can be brought to bear on this major activity.

The Trail Boss has the authority to assign tasks, establish due dates, and monitor performance of the activities under this program to ensure all objectives are met. The Trail Boss has direct access to the highest level of Senior Management at ARC and NASA associated with and responsible for this acquisition. The Trail Boss, who will have overall responsibility, will be supported by a 2-member acquisition team comprised of a Deputy Trail Boss for technical support and a Deputy Trail Boss for acquisition, who will be a Warranted Contracting Officer. The acquisition team will be assisted by various technical and other personnel (see Section 4.0 on page C5B-7), as required, to effect the acquisition and its subsequent administration. While the team members will report to the Trail Boss, each member shall be under the management control of his respective line organization.

3.0 DESIGNATION OF TRAIL BOSS PROGRAM PARTICIPANTS AND DELINEATION OF AUTHORITY

The activities will be led by a Trail Boss, Diane Johnson. Ms. Johnson is the Principal Executive for these activities and has the authority to manage the described acquisition. Ms. Johnson and the Deputy Trail Bosses will be assigned for the life of this acquisition, approximately 7 years. In the event Ms. Johnson or the Deputy Trail Bosses should leave this assignment, a Deputy Trail Boss, or other qualified person, will be selected as replacements. Assignment or replacement of the Trail Boss or Deputies will be by ARC letter, with concurrence by NASA Headquarters and GSA.

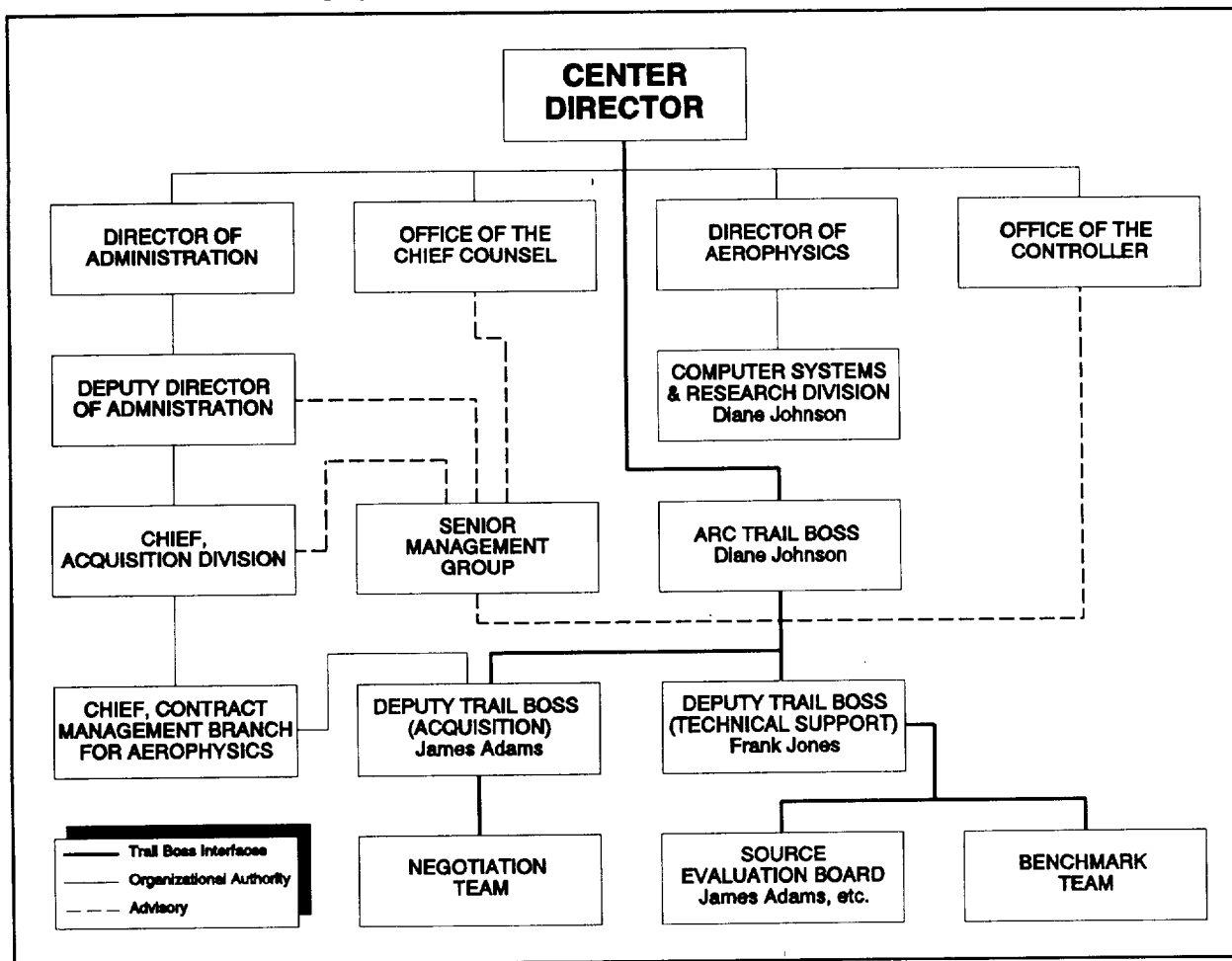
At ARC, major acquisition are effected by a Source Evaluation Board (SEB), working in conjunction with the acquisition organization and under the guidance of a Senior Management Group (troika), specifically the Deputy Directory of Administration, the Chief Counsel's Office, and the Chief, Acquisition Division. The SEB is normally composed of both technical and administrative personnel who are responsible for reviewing and approving the RFP, evaluating the proposals, and making recommendations to the selecting official. Section 4.0 on page C5B-7 further describes the role of the Senior Management Group and the SEB.

The Deputy Trail Boss for technical support, Mr. Frank Jones, will be an ex-officio member of the SEB constituted under this Trail Boss Charter. In this role, Mr. Jones will follow the direction of ARC policies and procedures and the advice of the Senior Management Group. Mr. Jones will advise the SEB on the presentation of its results to both the Trail Boss and the Selecting official. Since benchmarks are required to validate performance, he will be responsible for ensuring that they have been run and that they meet the established specifications.

The Deputy Trail Boss for acquisition, Mr. James Adams, will serve as Contracting Officer, will advise the Trail Boss on all contractual matters and regulation interpretation, and will be a member of the SEB. Mr. Adams is a Warranted Contracting Officer and will represent the Acquisition Division at ARC. While Mr. Adams will support the Trail Boss in acquisition and contracting matters, he will retain the authority to make determinations reserved for Warranted Contracting Officers, in accordance with the Federal Acquisition Regulation (FAR). For these activities, the Contracting Officer reports to the Chief, Acquisition Division, at ARC. This will preserve the checks and balances fundamental to the Federal acquisition policies and practices. In case of conflict, an effort will be made to resolve the problem with the Chief, Acquisition Division, and, failing that, the matter will be resolved by the Center Director.

The use of a SEB and the Senior Management Group have proven to be an effective acquisition methodology for ARC. The Trail Boss and her 2 deputies will work within this framework. The Trail Boss will attend all meetings where presentations are made by the SEB, and will be informed of all Senior Management Group recommendations and the disposition of their recommendations.

The relationship between the Trail Boss, her reporting structure, the acquisition support team and the acquisition team support groups is graphically depicted in Exhibit C-6 on page C5B-7.

Exhibit C-6. *Relationship of Trail Boss to Center Organization*

4.0 ACQUISITION SUPPORT TEAM

For this acquisition, the Acquisition Support Team will be composed of the Trail Boss and the 2 Deputies. The technical expertise will be provided by the SEB, an advisory group (the Senior Management Group), and a negotiation team will assist the Acquisition Support Team. Each of these groups is described below. Additional support, such as a legal representative, will be provided by the Trail Boss as required.

The Deputy Trail Boss for technical support will be assisted by an acquisition team, known as a SEB (see Section 3.0 on page C5B-6) and the Deputy Trail Boss for Acquisition. For the acquisition covered by this Trail Boss Charter, a specific team has been identified composed of knowledgeable technical and cost experts who has prepared the request for proposals, will review all vendor received proposals, and will provide written evaluations to the Source Selection Official (SSO) as to the adequacy of each proposal. The SEB is composed of members selected from the appropriate disciplines for the acquisition. The SEB will be active from acquisition initiation through source selection.

The Senior Management Group is composed of 3 people including representatives from Legal and Senior members of the Acquisition Division and the Administrative Directorate at ARC. The Senior Management Group will provide management guidance to the SEB and will be active during all phases of the acquisition.

The negotiation team will be comprised of the Deputy Trail Boss for acquisition (who will lead the negotiation team), the Trail Boss, the Deputy Trail Boss and other support (such as legal, financial, specialized technical personnel), as required. The negotiation team shall become active after source selection.

5.0 RESPONSIBILITIES OF THE TRAIL BOSS

The Trail Boss has full responsibility for the management of the project. This includes developing project plans, acquiring necessary resources, and the overseeing of all aspects from conceptual design through implementation. The Trail Boss is the primary spokesperson for the project and will be the interface to any oversight activity (see Section 3.0 on page C5B-6).

The Deputy Trail Boss for technical support will be responsible for the development of all specifications and benchmarks related to the acquisition. He or she will provide oversight for the conduct of the SEB and its reports to the Senior Management Group, the Source Selection Official and the Trail Boss (see Section 3.0).

The Deputy Trail Boss for acquisition will be responsible for all contractual matters related to the acquisition. He will conduct the negotiations leading to contract award, and he will be responsible for all contractual matters relating to subsequent acquisition, technology upgrades, and maintenance (see Section 3.0).

6.0 STATEMENT OF AGENCY COMMITMENT

Upon receipt of the delegation of authority from GSA, NASA shall do the following:

- a. Adhere to the provision of this Trail Boss Charter including the assignment of the Trail Boss and Deputy Trail Bosses for the life of each acquisition.
- b. Maintain a qualified acquisition support team for the life of each acquisition.
- c. Review the Trail Boss acquisition at least every 12 months, on the anniversary of the GSA delegation, and advise GSA of any problems and corrective actions taken.
- d. Cooperate with GSA to evaluate the Governmentwide Trail Boss Program during Fiscal Year 1991.
- e. Cooperate with GSA reviews of agency actions as outlined in paragraph 10 of FIRMR Bulletin C-7 (Trail Boss Program).

C-5B ATTACHMENT 2—STATEMENT OF QUALIFICATIONS

TRAIL BOSS

NAME: Diane Johnson

Position Title: Division Chief

Organization: Computer Systems and Research Division
Aerophysics Directorate
Ames Research Center (ARC)

EXPERIENCE:

Ms. Johnson has more than 20 years of experience in Information Resources Management (IRM) acquisitions covering all aspects of hardware, software, and services. She has held division-level positions in organizations at the Center, which had major responsibilities in IRM. Prior to her current assignment, she served as Deputy Chief, Numerical Aerodynamic Simulation Projects Office and before that was the Assistant Chief, Technology for her current Division. She has served as an ex-officio member of SEB's/Teams, been assigned as a member to many SEB's/Teams and has served as chair for 2 Boards, the most recent being the NASA Comprehensive Services Board, which resulted in the award of a contract to Computer Sciences Corporation in 1989. Ms. Johnson has been selected by Center Management to participate in Peer Review Boards/Panels to evaluate technical and acquisition approaches for major computation-oriented activities within the Center.

In her current position, Ms. Johnson is responsible for the information resources planning activities for the Center and, in that position, for the preparation of the Information Technology Systems Plan, the ARC ADP Strategic Plan, and for the adherence of the Center to legislative and executive regulations. She chairs the IRM Planning Board, a board composed of Deputy Division Chiefs from the major technical organizations as well as representatives from the Comptroller's Office, the Acquisition Division and the Administration Directorate. She is responsible for the overall management of IRM contracts totalling approximately \$50 million per year and actively participates in all acquisitions, award fee boards, and associated activities. Ms. Johnson is considered the Center technical expert in IRM acquisition strategy and implementation and as such her advice and counsel is sought by members of the technical staff, of the Acquisition Division, and by Senior Management. Her innovative acquisition strategy has resulting in Agency awards and she is sought by many other Federal Agencies to discuss acquisition planning, development and implementation.

EDUCATION:

Ms. Johnson has a Bachelor's Degree in Mathematics and has taken graduate courses in Mathematics. She has a year of graduate study at Stanford University. She has attended management courses and special courses in acquisition and technical subjects during her career.

DEPUTY TRAIL BOSS 1

NAME: Frank Jones

Position Title: Assistant for Technology

Organization: Computer Systems and Research Division
Aerophysics Directorate
Ames Research Center (ARC)

EXPERIENCE:

Mr. Jones has approximately 20 years experience in Information Resources Management (IRM) systems acquisitions. He has managed Branch level organizations having major responsibilities in IRM. Prior to his current assignment, he served as Chief of the Computer Systems Development Branch responsible for the planning, acquisition, and integration of new computational systems for the ARC's Central Computer Facility. Notable was the recent completion of a \$97 million acquisition, for a wide range of interactive computer systems to meet the long term needs of the Center, in which Mr. Jones was responsible for developing and advocating to Center Management an acquisition approach incorporating new methods permitting improved IRM cost-effectiveness and for managing the overall acquisition effort. Mr. Jones has also led, or served as a key team member, in the acquisition of 6 large-scale computer systems for use in the Central Computer Facility. He also served as a member of the NASA Project Team responsible for the initial planning, study and advocacy efforts. Mr. Jones has served as a member of several SEB's/Teams for IRM systems and services. In addition, he has served as an ex-officio member to advise evaluation teams in the area of IRM acquisition. Mr. Jones is recognized as a Center expert in IRM acquisition and is therefore frequently sought out for advice and counsel by Center Management and others outside of ARC.

In his current position as a senior member of the Division staff, Mr. Jones is responsible for directing the efforts of the CCF in the area of assessment and incorporation of new technologies to enhance the computational capabilities in the Central Computer Facility. Mr. Jones has also been selected by Center Management to lead a multidisciplinary project to revise and enhance the processes by which the Center budgets and tracks IRM expenditures. In this activity he has been working closely with ARC and NASA Headquarters management to develop more effective methods for integration of IRM and Center Budgeting processes.

EDUCATION:

Mr. Jones has a Bachelor's Degree in Electrical Engineering and has taken graduate courses in digital systems. In addition, he has attended a number of management courses and specialized courses in acquisition and technical subjects.

DEPUTY TRAIL BOSS 2

NAME: James Adams

Position Title: Deputy Trail Boss

Organization: Contract Management Branch for Aerophysics
Acquisition Division
Ames Research Center (ARC)

EXPERIENCE:

Mr. Adams has over 12 years of Government experience in acquisition. He has held the position of Contract Management Division Chief in a Defense Contracts Administration Services Plant Representative Office (DCASPRO) of the Defense Logistics Agency (DLA). He served as the alternate Chairman of a Contract Management Review Board covering large procurement actions for the DCASPRO's at FMC and Westinghouse in the San Francisco Bay area. He has participated in proposal evaluations and pre-award surveys for several major programs while at the DCASPRO at Ford Aerospace.

Mr. Adams is currently the Contracting Officer assigned to the Computer Systems and Research Division at NASA ARC. He is administering automatic data processing (ADP) contracts including the current Computational Capability contract and the 4 interactive Systems contracts, multiyear requirements contracts for workstations and mid-level processors. He is assigned as the Contracting Officer to the SEB for the Computational Capability follow-on procurement.

EDUCATION:

Mr. Adams has a Bachelor of Arts Degree and a Masters Degree in Business Administration. He has taken basic and advance courses in acquisition management, contract administration, contract law, pricing, and quantitative analysis. He has taken the NASA SEB Training Course and will continue to attend management and procurement courses to expand his knowledge base. He is scheduled to attend the Trail Boss training course in December 1990.

CHAPTER D—ACQUISITION OF FIP RESOURCES BY CONTRACTING

SECTION 39—ACQUISITION OF FIP RESOURCES BY CONTRACTING

39.000 Scope of Section. This section prescribes additional policies and procedures that apply to the acquisition of FIP resources by contracting. Throughout, additional information is provided to facilitate the acquisition of FIP resources.

39.001 General. Much of the material contained in FIRMR Part 201-39 is repeated elsewhere in the FIRMR, specifically Parts 1, 3, 4, 17, 20, and 24. This section does *not* repeat the pertinent NASA-unique policies and procedures already contained in Sections 1, 3, 4, 20, and 24, or any other section of this NHB.

NASA personnel involved with the acquisition of FIP resources, subject to the FIRMR, must be familiar not only with the FAR and NFS, but *all* provisions of the FIRMR, including its Bulletins, and this NHB.

39.1 FIRMR SYSTEM

39.100 Scope of Subsection. This subsection provides references to other sections of this NHB, additional clarification, and other information to facilitate the use and application of the FIRMR.

39.101 Purpose, Authority, Applicability, and Issuances.

39.101-1 Purpose *[reserved]*.

39.101-2 Authority. See Subsection 1.003 on page 1-2.

39.101-3 Applicability. See Subsection 1.002 on page 1-1. All acquisitions conducted by NASA shall be reviewed to determine whether the FIRMR is applicable. Grants and cooperative agreements are not subject to the Brooks Act of 1965, the FIRMR, or this NHB.

- **Severing FIP Resources.** Sponsoring and procurement personnel should strive to minimize the amount of FIP resources acquired by contractors for the Agency through otherwise non-Brooks Act acquisitions. Unless there are unacceptable performance risks, FIP resources should be severed from otherwise non-Brooks Act acquisitions. It is the CO's responsibility to decide whether to sever FIP resources. The originator is responsible for providing supporting rationale.

In acquisitions with FIP and non-FIP resources, the analyses of alternatives [see FIRMR 201-20.203-1(a) (6)] should discuss the applicability of each of the conditions listed in FIRMR

2-01-20.305 (b) (3) (i) through (vii), and determine, in writing, whether to sever the FIP resources requirements (or some portion thereof). The rationale for the determination will be clearly documented in the analysis of alternatives.

39.101-4 *[FIRMR reserved]*.

39.101-5 Arrangement of Subsection *[reserved]*.

39.101-6 Copies. See Subsection 3.204. on page 3-3.

39.102 Relationship of Acquisition Regulations. If there is a conflict between the FAR or NFS and the FIRMR, the FIRMR takes precedence if it concerns the acquisition of FIP resources subject to the FIRMR.

39.103 *[FIRMR reserved]*.

39.104 Deviations.

39.104-1 Deviations from the FIRMR. See Section 3.4, specifically Subsection 3.403 on page 3-4.

39.104-2 Deviations from the FAR. See FAR/NFS.

39.105 *[FIRMR reserved]*.

39.106 Contracting Authority and Responsibilities.

39.106-1 General. See Subsection 2.002 on page 2-4 and Subsection 20.305 beginning on page 20-27. See also Enclosure C-1 on page C1-1, regarding NASA's specific Agency DPA.

39.106-2 Policy. A DPA is similar to a CO's CWA in the sense that its limits cannot be exceeded without exceeding the authority of the DPA. Just as a CO would not sign a contract for \$1 more than his or her CWA, a CO cannot write a contract with a total potential value (including the exercise of all options) more than the value of the delegated procurement authority.

— NOTE —

In assessing the condition in FIRMR 201-20.305 (b) (3) (iii), the time required to conduct trade-off studies and analyses; obtain DPA's; otherwise comply with the terms of the FIRMR; and conduct an acquisition, or the schedule implications of a protest to the GSBGA, are by themselves insufficient to define an undue schedule risk. Additionally, the failure to adequately plan and schedule acquisitions by itself is not sufficient to define an undue schedule risk.

In assessing the condition in FIRMR 201-20.305 (b) (3) (vi), it must be understood that some measure of risk will almost always be introduced when severing FIP resources, presuming the FIP resources were critical to the performance of the solicitation or contract. That risk is by itself not adequate to meet this condition. It must be clearly demonstrated that risk of performance has shifted materially to the Government and that the shift is not in the best interests of the Government.

In the case of a contract that includes both FIP and non-FIP resources, the contract shall clearly identify the Government's delegated procurement authority with respect to the FIP resources. This authority should not be less than the total potential value of all expenditures for FIP resources under the contract, including the potential maximum value of all options. In such contracts, the CO may increase the value of the contract for non-FIP resources so long as such increases do not require an increase to the FIP resources to be acquired on the contract in excess of the DPA; otherwise, an amendment to the DPA would be required before increasing the non-FIP resources.

For example, assuming NASA has an existing contract with a contractor that includes FIP and non-FIP resources, and it is contemplated to award a new work modification to the contract for additional engineering design services with the understanding that the contractor must acquire Installation-compatible computer-aided design/computer-aided engineering (CAD/CAE) to perform the work. Because the contractor cannot perform the design services but for acquiring these additional FIP resources (which presumably are in excess of the existing DPA), the design services cannot be initiated before receipt of an amendment to the DPA.

39.106-3 Procedures *[reserved]*.

39.106-4 Contract Clauses *[reserved]*.

39.2 DEFINITIONS OF WORDS AND TERMS

See Section 4, Definitions and Acronyms, on page 4-1. See also the Appendix on page APP-1 at the end of this NHB for a list of acronyms.

39.3 *[FIRM RESERVED]*

39.4 *[FIRM RESERVED]*

39.5 PUBLICIZING CONTRACT ACTIONS

39.500 Scope of Subsection. This subsection clarifies and provides additional information concerning CBD announcements and RFI's.

39.501 Synopses of Proposed Contract Actions.

39.501-1 Policies. Prior receipt of a specific acquisition DPA is not a prerequisite to publicizing the announcement of a prospective solicitation in the CBD. However, if GSA substantially modifies an acquisition when granting the DPA, a reannouncement in the CBD shall be accomplished.

Early publication of acquisition specifications and other noncompetition-sensitive documentation for industry comment is highly recommended. The use of the RFI to obtain industry comments, marketing data, and so on, is strongly recommended for all acquisitions of FIP resources exceeding \$25 million. Use of

CBD announcements is recommended to continually advise and update the vendor community of the status of the solicitation and key requirements or for acquisitions where substantial changes in previously released presolicitation material have occurred. In situations where it may be practicable to furnish the proposed specifications or statement of work to prospective contractors to obtain their suggestions or clarify problem areas while waiting for GSA approval of the APR approval, release of a draft RFP is also suggested.

— NOTE —

While CBD publication may be made before the DPA is received, the solicitation may not under any circumstances be released before receipt of the DPA.

39.501-2 Exceptions. Under no circumstances is it necessary to publicize in the CBD the intent to place an order against a GSA nonmandatory multiple award schedule (MAS) contract if the total value of the order is \$50,000 or less. This is regardless of whether the acquisition uses specific make or model specifications or there is only one responsible source and the acquisition requires a JOFOC. (See Section 39.6 below for a discussion of when nonmandatory MAS contracts do not provide for full and open competition.) The exception in FIRMR 201-39.501-2(a)(1) should not be construed as precluding the using of the CBD to obtain market information when developing JOFOC's, it merely does not require it.

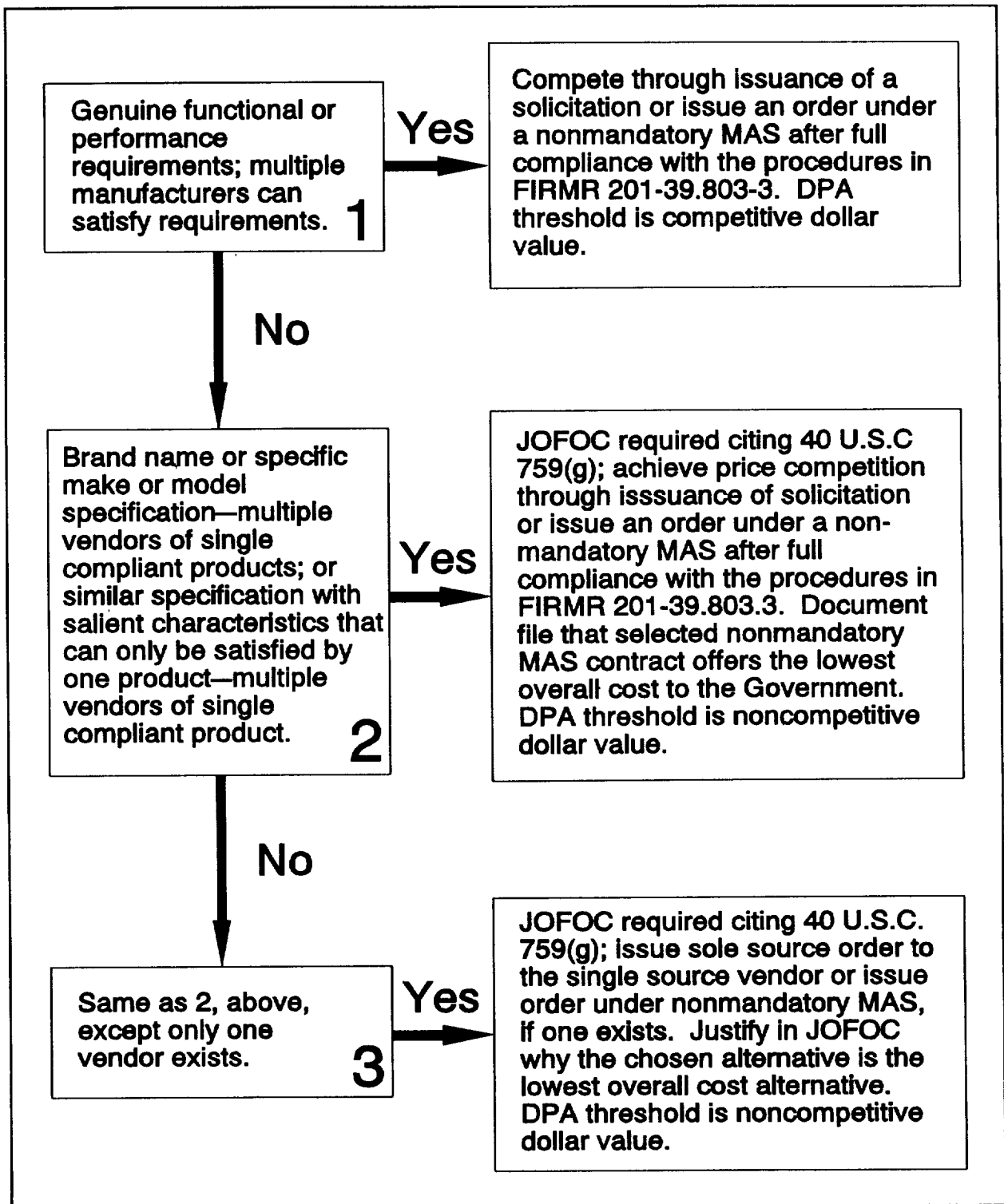
39.501-3 Procedures *[reserved]*.

39.6 COMPETITION REQUIREMENTS

39.600 Scope of Subsection. This subsection provides references to other sections of this NHB, additional clarification, and other information applicable to acquiring restrictive requirements and outdated FIP equipment.

39.601 Specific Make and Model Specifications. The purpose of this subsection is to clarify when the use of GSA nonmandatory MAS contracts is a competitive procedure relative to FAR Part 6; when the use of GSA nonmandatory MAS contracts is not a competitive procedure relative to FAR Part 6 and a JOFOC is required; and which DPA dollar value threshold applies when using a GSA nonmandatory MAS contract.

The Competition Requirements Decision Tree, shown in Exhibit 39-1 on page 39-5, may be useful as a guide to deciding whether an acquisition is being conducted using competitive procedures or not, and which DPA dollar value threshold to use.

Exhibit 39-1. *Competition Requirements Decision Tree*

- Use of GSA nonmandatory MAS contracts is a competitive procedure relative to FAR Part 6 when—
 - the requirements are stated in functional or performance terms that can be satisfied by more than one manufacturer's product;
 - contracting personnel have complied with FIRMR 201-39.803-3(a)(2) to consider a reasonable number of nonmandatory MAS contractors that can satisfy the functional requirements;
 - contracting personnel have fully complied with FIRMR 201-39.803-3(b) regarding CBD responses, if a synopsis is required; and
 - the contract file is adequately documented that the order placed to the selected nonmandatory MAS contractor represents the lowest overall cost to the Government.

— NOTE —

The existence of multiple manufacturers of different products is indicative of a competitive procedure, while the existence of multiple vendors of a required single product is not. Although the latter case may satisfy the definition of price competition in FAR 15.804-3(b), it does not provide for full and open competition and a JOFOC is required.

Generally, a "reasonable number" means consideration of at least two compliant nonmandatory MAS contractors. Prudence would suggest considering three or more compliant nonmandatory MAS contractors.

If the above procedures are followed, even though the resultant order may be issued for a specific manufacturer's product by name and model number, this is not a procurement for a specific make or model requiring a JOFOC; the exception in FIRMR 201-39.601-2 applies.

- Use of GSA nonmandatory MAS contracts is not a competitive procedure relative to FAR Part 6 when the acquisition is for a true specific make or model acquisition—that is, the requirements can be satisfied by only one manufacturer's product regardless of the fact that
 - the specification attempts a functional or performance description using salient characteristics; and
 - multiple vendors may offer the product.

A specification that attempts to describe salient characteristics is not in itself conclusive evidence of a full and open competitive environment. The decisive factor is whether a product other than a specific make or model can satisfy the requirements expressed in such a specification. For example, if the salient characteristics were repeated off of or were derived directly from a product specification, a new product release issuance, or similar data sheet of a specific make or model or brand name, the requirements are probably not described in other than specific make or model specifications. Salient characteristics so derived are likely to be product-specific performance characteristics or proprietary design specifications. This specification, although it includes salient functional or performance characteristics, does not provide for full and open competition.

The most acceptable evidence that a specification is truly functional—or performance—descriptive and not specific make or model descriptive, is the identification of at least two products that can satisfy the requirement. Accordingly, unless a minimum of two different specification-compliant products can be identified, a JOFOC must be executed before placing an order under a GSA nonmandatory MAS contract. In other words, if there is no product other than the brand name or specific make or model that can satisfy the salient characteristics, then the acquisition must be justified and approved in accordance with FAR 6.303 and FAR 6.304. As stated previously, please note that although the availability of multiple vendors of a given product may satisfy the definition of price competition in FAR 15.804-3(b), full and open competition under FAR Part 6 is a separate concept that is not satisfied by such a situation (40 U.S.C. 759(g) makes specific reference to this distinction). Again, what is critical is whether there is more than one product which can satisfy the salient characteristics as written; not whether there may be multiple vendors of a specific product.

Note that when a JOFOC is required under these circumstances the appropriate citation is 40 U.S.C. 759(g), not 10 U.S.C. 2304 (c)(1).

- **DPA Dollar Value Thresholds**

- Use the competitive dollar value threshold when use of GSA nonmandatory MAS contract is a competitive procedure relative to FAR Part 6.
- Use the noncompetitive dollar value threshold when use of GSA nonmandatory MAS contract is a noncompetitive procedure relative to FAR Part 6.

— NOTE —

The term “competitive” here means the higher of the two dollar thresholds referred to in FIRM Part 201-20.305-1(a)(1), as modified by Enclosure C-1 to this NHB; the term “noncompetitive” here means the lower of the two dollar thresholds referred to in FIRM Part 201-20.305-1(a)(1), as modified by Enclosure C-1 to this NHB.

39.601-1 Policy. A brand name specification is a specific make or model specification and if an acquisition requires a contractor to comply with either such specifications, the acquisition must be justified and approved in accordance with FAR 6.303 and FAR 6.304.

GSA reviews all JOFOC’s thoroughly. Their focus is not so much on today’s requirement, but on future requirements and what NASA intends to do to make the environment more competitive. Thus, GSA is concerned with NASA’s strategy to migrate to the open systems standards of the NIST Application Portability Profile. It is NASA policy to comply with standards of the NIST Application Portability Profile where appropriate. It is also NASA policy to migrate noncompliant FIP resources to such standards, where appropriate.

GSA assesses each market survey (for example, a CBD announcement and its results) used to support a JOFOC to ensure that vendor interest has been encouraged, not discouraged. If GSA finds that this is not the case, it may require another market survey. Responses to market surveys are routinely double-checked by GSA analysts through direct contact with vendors. If future competition will in all likelihood continue to be stifled because of an existing investment in a proprietary environment, the

originator must explain how it plans to encourage competition in the future. The higher the dollar value of the acquisition, the more critical this explanation is to the credibility of the JOFOC.

The SIO and the Installation PO, working in concert with the Installation competition advocate, are responsible for ensuring an optimum amount of competition on acquisitions of FIP resources, consistent with sound business judgment, currently and for the future.

All JOFOC's for FIP resources that require HQS review and approval will be coordinated by the Code HS for approval by the AA for Procurement. Documents will be processed in accordance with FAR 6.3 and NFS 18-6.3. Installations shall ensure that adequate time is included in the schedule for HQS processing of the document. Only fully coordinated and approved documents will be submitted to GSA.

— NOTE —

A JOFOC that accompanies an APR for a FIP resources acquisition that would not normally be reviewed and approved at HQS will still be read by Code HS as part of its overall assessment of the APR submission. At Code HS's option, the Installation could be requested to make changes to the JOFOC.

39.601-2 Exception. The exception in FIRMR Part 201-39.601-2(a) is applicable only when an order is placed against a GSA nonmandatory MAS contract *and* the requirements are described in other than specific make or model specifications; that is, functional or performance specifications. A brand name or equal specification which includes salient characteristics may satisfy this requirement, but it may not. See the discussion in the second bullet of 39.601, above.

39.601-3 Authority [*reserved*].

39.602 Outdated FIP Equipment. See FIRMR Parts 201-39.1003, 39.1404, and 39.1503. See also Subsection 22.303 on page 22-2 for the procedures to obtain DSO approval to acquire outdated FIP equipment; also FIRMR Bulletin C-27.

39.7 [*FIRMR RESERVED*]

39.8 REQUIRED SOURCES OF SUPPLIES AND SERVICES [*ALL SUBSECTIONS ARE RESERVED EXCEPT AS INDICATED*]

39.800 Scope of Subsection. This subsection refers to Section 24 of this NHB and adds a procedure to follow using GSA mandatory and nonmandatory sources of supply. See Section 24, GSA Services and Assistance, on page 24-1 for procedures to be followed.

39.801 Policy. For any requirements to be satisfied through a GSA Telecommunications or ADP Schedule Contract (Group 58 or 70), the FIRMR and this NHB apply.

39.803-2 Policy. Orders placed against GSA nonmandatory MAS contracts shall comply with the procedures in FIRMR 201-39.803 *and* result in the lowest overall cost alternative to meet the Government's needs. CO's shall ensure that the contract file documentation constitutes a *complete* history of the transaction.

Specifically, CO's shall ensure that—

- orders placed against nonmandatory MAS contracts do not circumvent laws or regulations (for example, maximum order limitations required by regulation or contract are observed, requirements are not fragmented or repetitive orders are not placed on consecutive days or weeks to avoid DPA thresholds, and so on);
- files contain complete and approved FRDD's or, for orders equal to or less than \$50,000, equivalent requirements documentation;
- JOFOC's are developed and approved for acquisitions of FIP resources that include specific make or model FIP specifications or that can be satisfied by only one responsible source (in this regard a brand name or a brand name or equal specification for FIP resources which has no "equal" other than the brand name, also requires a JOFOC; see 39.601, 39.601-1, and 39.601-2);
- files explicitly document that the use of a nonmandatory MAS contract results in the lowest overall cost alternative to meet the needs of the Government (files shall identify the MAS contracts that were considered to reach this conclusion); and
- procedures of the FIRMR, specifically, 201-39.803-3, and this NHB are followed.

39.803-3 Procedures. The following augments the procedures in FIRMR 39.803-3 and are in addition to any other applicable requirements in the FIRMR, FAR, NFS, or this NHB.

- Originators shall complete and obtain approval for FRDD's (or their equivalent for acquisitions equal to or less than \$50,000), consistent with this NHB and Installation procedures.
- Originators shall either prepare SOW or requirements documentation describing the requirements with other than a specific make or model specification (see discussion in subsection 39.601) or develop a JOFOC to use such specifications. In developing such documentation, use of specific make or model or brand name product specifications, new product release issuances, data sheets, and similar information should be avoided. Salient characteristics, if used, shall generically describe the requirements in functional or performance terms that can be satisfied by more than one manufacturer's product (either from a nonmandatory MAS or otherwise) or if not, a JOFOC shall be developed. (See the second and third steps in the Competition Requirements Decision Tree, shown in Exhibit 39-1 on page 39-5.)
- Originators shall conduct such market research as necessary to provide the names of not less than two manufacturers for separate products that satisfy the acquisitions requirements. CO's can help

by maintaining and providing access to descriptions of nonmandatory MAS contracts and by using sources sought synopses or other CBD features. These names shall be included with procurement requests submitted by originators to the procuring organization. In the event originators cannot provide the names of at least two manufacturers for separate products that satisfy the acquisitions requirements, the reasons must accompany the procurement request.

- Originators shall develop JOFOC's for those acquisitions that cannot be satisfied by more than one manufacturer's product (either from a nonmandatory MAS or otherwise), regardless of whether there are multiple vendors of the single compliant product. (See also next bullet where there is only a single vendor of a single compliant product.) The JOFOC required shall cite 40 U.S.C. 759(g). (Use the Competition Requirement Decision Tree, shown in Exhibit 39-1 on page 39-5, as a guide for deciding whether the acquisition is being conducted under other than full and open competitive procedures.)
- Regarding those acquisitions that cannot be satisfied by more than one manufacturer's product (either from a nonmandatory MAS or otherwise) and there is only a single vendor of the single compliant product, CO's may issue a sole source order to the single vendor or issue an order under a nonmandatory MAS, if one exists. The originator, with the assistance of the CO shall justify in the JOFOC why the chosen alternative is the lowest overall cost alternative. (See the third step in the Competition Requirements Decision Tree, shown in Exhibit 39-1 on page 39-5.)
- CO's shall review all procurement requests and ensure that the procedures described above have been followed or that appropriate steps are taken to ensure compliance.
- CO's shall determine whether they have sufficient delegated procurement authority to conduct the acquisition. If a specific acquisition DPA is required, an APR must be submitted to GSA in accordance with the FIRMR and this NHB. (Use the Competition Requirements Decision Tree in

— NOTE —

In addition to the discussion in subsection 39.601, which contains the Competition Requirements Decision Tree, shown in Exhibit 39-1 on page 39-5, the examples in Exhibit 39-2 may be of assistance in determining whether a nonmandatory MAS may be used, how price competition may be obtained, whether a JOFOC is required and the appropriate authority, and so on. "One manufacturer's product" refers to the situation where there is only one viable product that can satisfy the Government's needs.

In these examples it is assumed that FIRMR 201-39.803-3(a) has been followed, if applicable. Also assume that the examples identify the known responsible sources, identified as the result of market research. There may be other sources, for example, those identified as the results of synopses in the CBD, as required by FIRMR Part 201-39.501-1(a).

For each example in Exhibit 39-2 on page 39-11, if the value of an acquisition is \$50,000 or less and the intent is to place an order against a nonmandatory MAS contract, the file must document why the chosen alternative results in the lowest overall cost alternative to the Government. Similarly, if the acquisition is greater than \$50,000 and the intent is to place an order against a nonmandatory MAS contract, a synopsis must be placed in the CBD and the file must document the results of complying with FIRMR 201-39.803-3(b).

Exhibit 39-2. Nonmandatory MAS Examples

1. **One manufacturer's product, multiple nonmandatory MAS vendors offering product:** JOFOC is required citing 40 U.S.C. 759(g). If \$50,000 or less, no synopsis is required. Nonmandatory MAS contract may be used. Must document file. If greater than \$50,000, synopsis is required. Nonmandatory MAS contract may also be used. However, must first comply with FIRMR 201-39.803-3(b) and document file.
2. **One manufacturer's product, single nonmandatory MAS contractor offering product, no other known non-MAS vendor offering product:** JOFOC is required citing 40 U.S.C. 759(g). May issue sole source contract or order under nonmandatory MAS contract, whichever procedure results in lower overall costs. File must document rationale for the chosen alternative. Synopsis requirements are dependent upon which procurement procedure is selected. If the sole source procedure is selected, a synopsis is required for contracts exceeding \$25,000. If nonmandatory MAS procedure is selected and order is \$50,000 or less, no synopsis is required. If nonmandatory MAS procedure is selected and order exceeds \$50,000, a synopsis is required. Also in the latter situation must comply with FIRMR 201-39.803-3(b) and document file.
3. **One manufacturer's product, single nonmandatory MAS contractor offering product, and either single or multiple non-MAS vendors offering product:** JOFOC is required citing 40 U.S.C. 759(g). If \$25,000 or more, synopsis is required. Solicit all responsible offerors in accordance FAR Part 14 or 15. Place order to overall lowest cost alternative. Nonmandatory MAS contract may be used if it is the lowest overall cost alternative. FIRMR 201-39.803 not applicable; cannot comply with FIRMR 201-39.803(a)(2).
4. **One manufacturer's product, no nonmandatory MAS contractors offering product, and multiple non-MAS vendors offering product:** JOFOC is required citing 40 U.S.C. 759(g). Nonmandatory MAS is unavailable; must issue solicitation among available non-MAS vendors. FIRMR 201-39.501-1(a) and FIRMR 201-39.803 are not applicable. Synopsis requirements are those prescribed by the FAR. Price competition is accomplished through the solicitation process.
5. **One manufacturer's product, no nonmandatory MAS contractors offering product, and single non-MAS vendor offering product:** JOFOC is required citing 40 U.S.C. 759(g). Nonmandatory MAS is unavailable; must issue sole source order to available non-MAS vendor. FIRMR 201-39.501-1(a) and FIRMR 201-39.803 are not applicable. Synopsis requirements are those prescribed by the FAR.
6. **Multiple manufacturer's products, at least two nonmandatory MAS contractors offer different compliant products:** No JOFOC is required. If \$50,000 or less, no synopsis is required. Nonmandatory MAS contract may be used. Must document file. If greater than \$50,000, synopsis is required. Nonmandatory MAS contract may also be used. However, must first comply with FIRMR 201-39.803-3(b) and document file.
7. **Multiple manufacturer's products, one nonmandatory MAS contractor offering compliant product, and either single or multiple non-MAS vendors offering different compliant products:** No JOFOC is required. If \$25,000 or more, synopsis is required. Solicit all responsible offerors in accordance FAR Part 14 or 15. Place order to overall lowest cost alternative. Nonmandatory MAS contract may be used if it is the lowest overall cost alternative. FIRMR 201-39.803 not applicable; cannot comply with FIRMR 201-39.803(a)(2).
8. **Multiple manufacturer's products, no nonmandatory MAS contractors offering any compliant products, and at least two non-MAS vendors offer different compliant products:** No JOFOC is required. Nonmandatory MAS is unavailable; must issue solicitation among available non-MAS vendors. FIRMR 201-39.501-1(a) and FIRMR 201-39.803 are not applicable. Synopsis requirements are those prescribed by the FAR. Price competition is accomplished through the solicitation process.

subsection 39.601 on page 39-5 as a guide for deciding which DPA dollar threshold is appropriate.)

- CO's (and SIIO's or their designees) shall routinely survey ongoing acquisitions (specifically other purchase requests in the Procurement Office) for consolidation opportunities. (CBD announcements can be used by management (SIIO, PO, SPIO, and so on) to assess whether similar requirements are routinely being satisfied through nonmandatory MAS contracts and whether it may be appropriate to put in place a consolidation acquisition to satisfy similar future requirements.)
- Originators shall assure that *all* restrictive requirements are justified ("all or none," "only new," "specific make or model," "brand name," and so on) and a reasonable number of nonmandatory MAS contractors who can satisfy the requirement are identified, prior to selecting a specific nonmandatory MAS contract or publishing a synopsis of the intent to place an order.
- If the estimated value of the requirement is \$50,000 or less, CO's shall consider the offerings of a reasonable number of nonmandatory MAS contractors. CO's shall consider no fewer than two nonmandatory MAS contractors for the required items; prudence may suggest considering additional nonmandatory MAS contractors. CO's shall identify in the contract file which nonmandatory MAS contractors were considered. CO's shall place a delivery order against the nonmandatory MAS contract that satisfies NASA's requirement at the lowest overall cost. The cost analysis must be documented in the contract file.
- If the estimated value of the requirement is more than \$50,000, CO's shall consider the offerings of a reasonable number of nonmandatory MAS contractors. CO's shall consider no fewer than two nonmandatory MAS contractors for the required items; prudence may suggest considering additional nonmandatory MAS contractors. CO's shall identify in the contract file which nonmandatory MAS contractors were considered. CO's shall also synopsize the intent to place an order against a GSA nonmandatory MAS contract in the CBD and additionally consider all responses from responsible sources as outlined in FIRMR 201-39.803-3. CO's shall place the responses received to the CBD notice in the contract file and document their disposition in accordance with FIRMR 210-39.803-3(b) (2). If there were no responses, the CO shall indicate such in the contract file. CO's shall place a delivery order against the nonmandatory MAS contract that satisfies NASA's requirement at the lowest overall cost. The cost analysis must be documented in the contract file. If a responsible non-MAS contract can satisfy the Government's requirement at a lower cost than the most competitive MAS contract, the CO should issue a solicitation to all vendors that responded to the synopsis.

39.804-4 Procedures. Regarding the communications referred to in FIRMR 201-39.804-4 (f), the CO will forward copies of the delivery orders to Code JT, which will transmit them to OMB and GSA.

39.9 [FIRMR RESERVED]

39.10 SPECIFICATIONS, STANDARDS, AND OTHER PURCHASE DESCRIPTIONS

39.100 Scope of Subsection. This subsection refers to other sections of this NHB for policies and procedures for using specifications, standards, and other purchase descriptions for acquiring FIP resources. It also discusses strategies for using the acquisition process to achieve standardization of FIP resources.

See Subsection 17.001 on page 17–1 for policies on the use of functional and other types of specifications.

39.1001 Security and Privacy Specifications. See NHB 2410.9, NFS 18-4.470, and related IPO and Installation handbooks.

39.1001-1 Security Specifications *[reserved]*.

39.1001-2 Privacy Specifications *[reserved]*.

39.1002 Federal Standards.

39.1002-1 General. See Subsection 20.303 on page 20–24 and Subsection 39.601-1 on page 39–7.

39.1002-2 Policy. Open FIP Systems Strategies—Using the Acquisition Process: The overall IRM interests of the Agency, its programs, and its Installations are best served by evolving toward more interoperable and compatible (open) computing environments that maximize the portability of data and software.

Open FIP systems increase the opportunities for competition by facilitating the treatment of components (FIP equipment and software) as commodities. Thus the number of available solutions is increased and costs are reduced; the flow of data and information is also facilitated, thereby improving the efficiency and economy of the work force.

It is imperative to use Federal, industry, and *de facto* standards, and standards unique to the Agency, program, project, or Installation, to evolve toward a common, open, and interoperable computing environment. Using such standards is a valid requirement, and enables NASA to exploit the capital already invested in NASA's computing environments; however, use of these standards must be tempered if they result in an environment that is closed or proprietary. In such cases, NASA must develop plans to establish a demonstrable movement toward less proprietary and restrictive standards. Acquisition strategies must consider and be consistent with such plans.

Federal standards may be used without further justification and are not considered restrictive; use of industry, *de facto*, or unique standards may be restrictive, but these are not necessarily overly restrictive if their use is based on sound programmatic and business considerations. These considerations need to be identified, analyzed, and documented (in the requirements analysis) to support the legitimacy of the standards as requirements.

It is readily apparent that the acquisition process can and should be used to accomplish standardization, to migrate to open systems, and to meet similar IRM goals and objectives, in addition to satisfying the sponsoring organization's needs.

The FIRMR *implicitly* requires the assessment of standardization requirements—along with their associated risks and costs—to address the IRM opportunities (for example, standardizing a computing environment) offered by an acquisition. This should be accomplished during the requirements analysis and documented in the FRDD. Familiarity with and use of information-architecture-oriented methodologies in performing these analyses is imperative. Only when information requirements are fully understood can requirements for standardization (and interoperability and portability) be justified and specifications structured accordingly.

This is not to say that once standardization opportunities are identified by the requirements analysis, the opportunities must be exploited through the acquisition process. Analyses of alternatives should be used to quantify and qualify the risks and costs associated with exploiting the opportunities. This analysis should assess and recommend which opportunities should be exploited and which ones should not and why, based on what is in the best interests of the Government. However, without conducting these companion analyses, such opportunities would not even be identified, let alone exploited.

In addition to standards, the requirements, specifications, and evaluation process can also be employed—and should be—to facilitate the delivery of FIP system architectures and components that facilitate the move toward open systems.

39.1002-3 Procedures *[reserved]*.

39.1002-4 Solicitation Provisions *[reserved]*.

39.1003 Specifications for Outdated FIP Equipment. See FIRMR 201-39.602, 39.1401, and 39.1503. See also Subsection 22.303 on page 22-2 on how to obtain DSO approval to acquire outdated FIP equipment; also FIRMR Bulletin C-27.

39.11 *[FIRMR RESERVED]*

39.12 *[FIRMR RESERVED]*

39.13 SMALL PURCHASE AND OTHER SIMPLIFIED PURCHASE PROCEDURES *[RESERVED]*

39.14 SEALED BIDDING *[RESERVED]*

39.15 CONTRACTING BY NEGOTIATION *[RESERVED]*39.16 *[FIRMR RESERVED]*

39.17 SPECIAL CONTRACTING METHODS

39.1700 Scope of Subsection. This subsection provides references to other sections of this NHB, prescribes additional policy and procedures concerning options, ID/IQ contracts, period of performance, system integration and management and operation contracts, technology refreshment provisions, and restricting FIP resource acquisitions to domestic sources, among other topics, and provides other pertinent information.

39.1701 Options.

39.1701-1 General *[reserved]*.

39.1701-2 Applicability *[reserved]*.

39.1701-3 Policy. The delegated procurement authority for a procurement action, including options, must not be less than the potential total value of the procurement action, assuming that all options will be exercised.

39.1701-4 Contracts. The Service Contract Act may apply to the acquisition of various FIP support services, such as FIP maintenance and programming.

39.1701-5 Documentation. The CBD announcement and solicitation should clearly identify the scope of the acquisition. If it is an agencywide buy, it should be so indicated in the CBD announcement. Prospective bidders or offerors should be able to understand what is being acquired and generally whose requirements the acquisition will satisfy.

39.1701-6 Evaluation. If the value of the options, if exercised, would, together with the value of the base amount of the contract, exceed the value of the delegated procurement authority, an increase in the delegated procurement authority is required and must be obtained prior to entering into the contract. No contract can be entered into without a delegated procurement authority that equals or exceeds the value of the base contract plus the value of all options, and no modification of such a contract can be made without similar authority.

The following example, given in Exhibit 39-3 on page 39-16, represents the successful offers received on a full and open competition.

Assuming in the example on the next page that the Agency authority is \$2 million for competitive acquisitions, then in this case this authority is sufficient to cover the acquisitions.

Exhibit 39-3. 3 Successful Offers on Sample Competition

	CASE 1	CASE 2	CASE 3
Base	100,000	100,000	100,000
Options	1,850,000	1,950,000	2,400,650
Initial Procurement Authority Relied Upon	Agency	Agency	2,500,000

In the second case, the value of the base together with the options exceeds the Agency's authority. Since there is a presumption that the option units constitute a legitimate requirement, a specific acquisition DPA is required before award of the contract incorporating these options. This is so even if the options may not be exercised (in whole or in part).

In the third case the Agency sought and was granted a specific acquisition DPA; however, the total potential value of the successful offer exceeds the value of that DPA. As with case 2, an amended DPA would be required in the amount of the potential contract value.

39.1701-7 [*FIRMR reserved*].

39.1702 Indefinite Delivery/Indefinite Quantity (ID/IQ) Contracts [*no comparable FIRMR Part*]. The use of ID/IQ contracts may be an effective approach to acquire commodity-type FIP equipment and software, microcomputers, engineering and scientific workstations, minicomputers, mainframe computers, printers, disk drives, other peripherals, and COTS software).

Whenever this acquisition strategy is to be used and a specific acquisition DPA will be required, Code JT shall be consulted as early in the planning process as practicable so that Code JT can determine whether additional Agency requirements should be added. As a general rule, all fully competitive ID/IQ contracts will be structured so as to permit the inclusion of additional Agency requirements for use by other organizations, including other Installations, upon completion of the appropriate documentation. The plausibility and desirability of adding such requirements will be reviewed on a case-by-case basis with the cognizant SPIO and Codes JT and HS.

The sponsoring organization of the ID/IQ contract that produces the FRDD will generally address the probability of similar requirements elsewhere within the Agency. A suitable requirements analysis to cover these additional Agency needs will be included in the FRDD by the sponsoring organization and may be based on an extrapolation for similar missions, programs, applications, populations to be served, or other similar parameters. Such extrapolation may also be based on the need for transferring data and information within and among Installations and programs. The sponsoring organization should request the assistance of Code JT or the IPO's in quantifying the needed metrics to be used for extrapolation; however, it is not anticipated that this will be of the form of any detailed function-by-function analysis. It will be the responsibility of organizations outside the sponsoring organization desiring to place delivery orders under the resulting contract to verify that its needs can be satisfied

by the items available from the contract. The use of such existing contract vehicles will normally result in the most advantageous means of satisfying needs and may result in cost savings because of larger quantity contracts as well as manpower and time savings due to the reduction of overhead associated with independent procurement actions. A determination, though, must be made that the use of these contractual vehicles represents the most advantageous alternative to the Government and shall be so noted in the analysis of alternatives. Unless the documentation produced by the sponsoring organization is already sufficient to justify the requirement, the requiring organization must comply with the FIRMR and this NHB to document its specific requirements, which means, among other things, producing a FRDD commensurate with the nature of the requirement. The FRDD shall be approved by the SIO or designee of the requiring Installation before an order can be executed. The PO of the sponsoring Installation shall obtain the requisite procurement authority to enter into the ID/IQ contract.

Administration (for example, ordering procedures and so on) of the ID/IQ contract is an Installation option. However, details concerning the administration of the contract, including how to place orders and transfer funds, the quantities available for the sponsoring and requiring organizations, and so on, must be addressed in the procurement plan or the ASM. Code JT will publish information on both the availability of these contracts and on the procedures to be followed to use them. This information will be limited to acquisitions exceeding the Agency's delegated authority.

All ID/IQ acquisition strategies should consider how to ensure that technology will remain current and prices competitive throughout the term of the contract. A major issue with ID/IQ contracts is that both the technology and the prices for it become outdated very quickly. Investigate the use of price-performance curves, price adjustment features, and technology refreshment provisions. However, expect that GSA will still place strict limits on the period of time during which orders may be placed. See Subsection 39.1703 on page 39-18.

GSA has begun a program to add Governmentwide requirements to agency ID/IQ solicitations. To be included in the program, an acquisition must

- be for commodity FIP equipment and software;
- be an ID/IQ-type contract;
- use full and open competitive procedures; and
- be high-dollar-value (probably in excess of \$50 million).

GSA may add up to 10 percent to the APR dollar value for use by other agencies. Agency use of other agency ID/IQ contracts will be dependent on *voluntary* participation in this program. For acquisitions selected by GSA to participate in this program, the Installation shall determine how it will administer the orders placed on the contract by outside agencies. The Installation shall determine the cost of administering the orders to be placed by other agencies and an appropriate surcharge to be added to each order. Participation in this program shall be revenue-neutral to NASA. GSA will work with the Installation to publish a notice on the availability and use of the contract by other agencies.

39.1703 Term of Contract [no comparable FIRM Part]. In accordance with the concerns discussed in Subsections 39.1702, 39.1704, and 39.1705, the period of performance of a contract to acquire FIP resources, including all options, should not exceed the following limits, unless extraordinary reasons indicate otherwise. These limits are based on Code JT's experience with GSA.

- **Fully Competitive Acquisitions.** The current acceptable contract term for fully competitive FIP resources is shown in Exhibit 39-4 below.

Exhibit 39-4. Period of Performance Schedule for Fully Competitive FIP Resources

Examples of FIP Resources	Years	Special Conditions
Microprocessors and peripherals	3	
Scientific and engineering workstations	4	
Other processors (mainframes, super-computers, etc.)	5	
Other FIP equipment, excluding telecommunications	3	
Other FIP equipment, telecommunications	5–10	Depending on requirement
FIP software	≤ 10	Depending on expected life of the application and requirement
FIP services	5	
FIP support services, in general (excluding maintenance)	5	
FIP support services, if involved with development of a FIP system	—	A reasonable development and operational cycle
FIP maintenance	—	5 years if acquired alone or with other FIP support services or FIP services; 5 years following the last order of FIP equipment or software if acquired with FIP equipment or software

- **FIP System:** System life—that is, DDT&E (design, development, test, and evaluation), useful, or technology life. The choice should be based on mission suitability (requirements, technologies, DDT&E methodologies, risk, and so on) and business considerations (such as evaluation and pricing). As an example, to develop a FIP system that requires 8 years for DDT&E and that will have a useful life of an additional 12 years, it may be appropriate to solicit and contract for DDT&E of the system, plus some additional operational period to

debug the system—that is, 8 years for DDT&E plus 2 years of sustaining engineering (FIP support services, maintenance, and so on) for a total of 10 years. It may also be appropriate to then solicit and contract for sustaining engineering for the 10 years of the remaining useful life (in 5-year increments, pricing the option periods).

- *FIP Equipment:* Varies. The choice should be based on the technological life of FIP equipment and the rapidity with which changes occur to the base technology of that equipment; that is, historically, how often do major breakthroughs occur with the technology? The more rapid the breakthroughs, the shorter the contract term that will be authorized by GSA in order to minimize the obsolescence of technology.
- **Other Than Fully Competitive Acquisitions.** The current acceptable contract term for other than fully competitive FIP resources acquisitions is shown in Exhibit 39-5 below.

Exhibit 39-5. Period of Performance Schedule for Other Than Fully Competitive FIP Resources

Examples of FIP Resources	Years	Special Conditions
FIP equipment and services, ID/IQ	3	
FIP software	1-5	Depending on the application and the requirement
FIP support services		Generally not approved by GSA unless for an extension of an existing contract to recompet; should be limited to the absolute minimum time needed to recompet, usually not to exceed 1 year, unless an extraordinary situation exists. A recompetition plan will probably be required by GSA (see Subsection 20.103-5 on page 20-15).

39.1704 System Integration and Management and Operations Contracts [no comparable FIRM Part]. Systems integration and management and operations contracts are pervasive throughout NASA. They are used to deliver many different services and products, including DDT&E of systems (flight, ground, and others), mission operations, and mission support. While few of these contract types were subject to the FIRM before October 1990, more will now be subject to the FIRM.

It is NASA policy not to “contract out NASA’s contracting authority.” See letter dated September 10, 1991, from the Director, Program Operations Division, Subject: Contractors Acting as NASA Procurement Agents. The policy stated therein should be distinguished from the situation where contractors provide substantial value added in addition to acquiring FIP resources. For example, the delivery of a FIP system to NASA typically requires the DDT&E of the system, in addition to

acquiring the component FIP equipment and software. Accordingly, this may be an appropriate use of the contractor-acquisition role.

Even when contractors are operating within the constraints of this policy, contractor acquisition of two types of these FIP resources—equipment and software—can pose special difficulties because of issues involved in evaluating the proposal of such resources. The difficulties stem from the fact that these contracts typically call for the incremented definition, acquisition, and delivery of such resources over an extended contract term, usually as a FIP system is still being incrementally defined and developed. While labor and services costs and prices can be fixed, such is not the case with FIP equipment and software. Usually, such FIP resources are not as well defined in the solicitation (at least those FIP resources to be delivered after the first or second year of the contract) so that the credibility of the evaluation for these FIP resources tends to be more suspect.

Information technology and its associated cost or price is recognized to be dynamic, so that the evaluation of this technology, if made, focuses on the current state of technology and its cost or price, with provisions in the contract for the refreshment (upgrade or replacement) of that technology and cost or price adjustment. Typically, however, this adjustment (or even renegotiation) occurs in a noncompetitive environment.

GSA is concerned that the business considerations in acquiring FIP resources from these types of contractors be continually assessed. One concern is that the cost these contractors charge the Government to conduct these acquisitions be fair and reasonable and the most advantageous option for the Government. The acquisition should contain strategies to minimize these costs throughout the contract. The acquisition strategy also should consider the pros and cons of severing FIP resources prior to the solicitation or during the term of the contract so that the Government might acquire the FIP resources (and provide as Government Furnished Equipment, if appropriate). Finally, strategies should ensure the most competitive environment under which technology upgrades are introduced and negotiated. These strategies should be addressed in the procurement plan (or ASM).

— NOTE —

When appropriate, solicitations and contracts should allow FIP resources to be provided to the contractor as Government Furnished Equipment as an explicit Government option (with appropriate collateral provisions for adjustment of price or fee). GSA often requires this as a condition of the DPA.

39.1705 Technology Refreshment Provisions [no comparable FIRM Part]. To minimize obsolescence of FIP resources, viable and responsive contracts should include provisions for upgrading the technology. These provisions for technology upgrades could preclude a fully competitive environment, but recompetition to acquire new technology also carries its own costs. The objective is to craft provisions and acquisition strategies to balance these competing policies.

Every acquisition of FIP equipment or software greater than \$2 million and an anticipated contract term exceeding 24 months should consider including a technology refreshment provision. These provisions should be crafted to address the pertinent issues of the specific acquisition. Enclosure D on page D-1 contains a sample clause.

39.1706 Restricting Sources on Advanced Technology Acquisition [no comparable FIRM Part]. There are additional procedures to follow if an acquisition for FIP resources is to be restricted to domestic (U.S.) sources.

The General Agreement on Tariffs and Trade—International Agreement on Government Procurement (GATT) requires that procurements of products be open to foreign competition unless national security considerations preclude foreign involvement (that is, the acquisition is indispensable for national security). The United States Trade Representative (USTR) makes that determination based upon a formal request by an agency head, the authority for which cannot be delegated. The USTR has set up an interagency group to review such requests and recommend their disposition.

In addition to satisfying the requirement for “indispensable for national security” the requirement also must fall within an exception to the Competition in Contracting Act (CICA). This requires approval of a JOFOC based on an exception to CICA. See FAR Part 6 and NFS Part 18-6 for exceptions.

The request for USTR approval and the companion JOFOC shall be approved by the Director of the Installation, and forwarded to Code JT (the JOFOC will be forwarded through normal channels to Code HS). Code JT shall obtain the concurrences of Codes GK and HS and of the cognizant SPIO to the request. Code HS will obtain the necessary concurrences and approval of the JOFOC. The request will be forwarded to the USTR over the Administrator’s signature, but only after final approval of the companion JOFOC.

39.1707 Acquisition of Used Computer Equipment [no comparable FIRM Part]. It is NASA policy that all viable alternatives to satisfying our FIP resources requirements shall be considered, including acquiring used FIP equipment. Used FIP equipment can be a viable alternative in some cases if issues of reliability, maintainability, and so on, are properly addressed. FIRM Bulletin C-29 provides guidance as to when used FIP equipment may be an appropriate alternative and provides information on structuring a solicitation to protect the interests of the Government. If only new equipment is required, this requirement must be documented in the FRDD in the requirements analysis, and justified in writing. (See Section 20.103-5 on page 20-15.)

39.1708 Modified APR and FRDD Requirements for NASA Contracts with Extensive Future Subcontracting [no comparable FIRM part]. This subsection discusses alternative analysis procedures to be used when FIP resources requirements cannot be well defined prior to soliciting and prime contractors (or NASA or contractors on behalf of NASA) are expected to define, DDT&E, or acquire such resources throughout the term of the contract. Generally, these procedures should be reserved for high-dollar value, multiyear acquisitions.

Usually, requirements for FIP resources are sufficiently understood prior to releasing the solicitation that prospective offerors can propose specific technical and business solutions. In these cases, Agency personnel can readily prepare a FRDD, in compliance with this NHB, covering the entire range of FIP resources to be acquired through the term of the contract, irrespective of who, how, or when the acquisitions are conducted by the prime contractor or subordinate subcontractors. The Government requirements analysis and analysis of alternatives meaningfully address the FIP requirements and,

more important, the types and quantities of FIP resources that could be proposed to satisfy these requirements can be estimated with a reasonable degree of assurance. In these cases, NASA management is comfortable with the degree of analysis conducted by NASA personnel to make the basic budgetary and other programmatic decisions which allow the acquisition to proceed. A DPA granted under these circumstances usually precludes the programmatic need (or business necessity) to prepare further documentation to support individual contractor acquisitions conducted under the DPA.

But there are other acquisitions that do not have this degree of fidelity at the time of solicitation, yet, they employ valid procurement strategies that, for technical and business reasons, defer trade-off studies and other analyses needed to detail or verify and validate requirements prior to DDT&E and acquisition. Typically, the probability of these acquisitions achieving mission success is greatly enhanced by obtaining DPA's that cover the life cycle FIP resources requirements. Examples of these types of acquisitions could include the following:

- any FIP system acquisition that may be susceptible to incremental DDT&E and acquisition, but that benefits from a single strategic prime contractor alliance, and includes conceptual or definitional acquisitions with options to DDT&E, such as in a Phase A or B for a major FIP system or an OMB Circular A-109 type acquisition; and
- a broadly scoped completion or task order contract with few explicit information technology requirements, but future expectations to deliver FIP resources, either as a consequence of satisfying a contract requirement or by assignment of task orders.

Each of these examples has the following common elements:

- the information needs are not defined;
- the FIP resources needed to satisfy the needs are not known;
- when the FIP resources will be required is not known; and
- how long the FIP resources will be needed is not known.

With these acquisitions, NASA management is generally uncomfortable committing full programmatic authority to acquire FIP resources, without the expectation that decisions (made by NASA, the prime contractor, or subordinate subcontractors) to acquire specific FIP resources during the term of the contract will be made on the basis of sound technical and business considerations, similar to those considerations prescribed in the FIRMR and this NHB, and will also be subject to Agency review. Typically though, NASA's contract terms and conditions require such trade-off studies and other analyses that address these elements and also provide for Agency oversight of the contractor decision process. Accordingly, since most of these decisions will be based upon analysis conducted by a contractor and consented to by NASA before the acquisition occurs, use of this documentation, with appropriate opportunity for external oversight, should suffice to address the programmatic concerns discussed above.

Accordingly, relative to these latter acquisitions, this NHB encourages the SIIO to apply the following procedures to satisfy the requirements of FIRMR 201-20.1, 201-20.2, and 201-20.3 (and subsections 20.002, 20.1, 20.2, and 20.3 of this NHB) and to assure the application of sound business practices during NASA's monitoring of contract performance. The use and application of these procedures should be informally agreed to by the SIIO and SPIO prior to formal APR package submission.

Within this context, and as agreed to between the SIIO and SPIO, if a proposed NASA acquisition will require a contractor to subcontract for FIP resources for which functional requirements are not clearly known at the time the APR is submitted for the prime contract, the following actions should be taken:

— NOTE —

Contractors are not subject to the FIRMR or this NHB. Accordingly, the form and substance of these trade off studies and other analyses are not prescribed and may take whatever form as agreed to between the Installation and prime contractor. It could take the form of a FRDD, but in such a case the requirement to comply with the FRDD must be imposed as a term or condition of the contract.

Use of the Trail Boss Program for these types of acquisitions is strongly recommended. JSC's Institutional Automatic Data Processing (ADP) and Operational ADP ID/IQ contracts offering a range of mainframes, were conducted very successfully using these modified FRDD procedures as Trail Boss acquisitions.

- The requirements analysis section of the FRDD should be prepared with as much information as is available at the time. The FRDD should explain how, when, and by whom the requirements will be analyzed during the course of the acquisition.
- An APR should be prepared and submitted in accordance with the FIRMR and this NHB; however, the APR should include the following statement:

“Since detailed functional requirements will be more fully defined during contract execution, sound management practices will be employed to assure NASA reviews evolving requirements details and implementations and that NASA Headquarters retains general overview of the contract progress. NASA will assure that contractors conduct appropriate trade-off studies and other analyses prior to acquiring FIP resources subject to this APR.”

- The mechanics of contract administration should provide a suitable means to assure proper NASA review of evolving requirements and the selection of alternatives for satisfying these requirements. These mechanics should be agreed to by the SIIO and the SPIO and should include an understanding of the participation and overview activity of the SPIO in the contract administration process. The mechanics should be documented, preferably in the FRDD, procurement plan or ASM minutes, or APR. One approach for assuring proper review is to comply with the procedure in the following bullet.
- The following approach may be used at the option of the SIIO or SPIO; it is not mandatory. (However, based on past experience, GSA could require compliance with this procedure on a case-by-case basis after its review of the APR.) As detailed functional requirements become more

fully defined during contract execution, the Installation (or the prime contractor, if it is made a term or condition of the contract) would develop and locally approve an appropriate FRDD or contractor equivalent in accordance with subsection 20.002 on page 20-8 before the FIP resources are subcontracted. These locally approved FRDD's would then be sent to HQS (cognizant SPIO, with a copy to Code JT) for information purposes only for those requirements that exceed the Installation's delegated procurement authority, as if NASA had conducted the acquisition.

39.18–39.32 *[FIRMR RESERVED]*

39.33 PROTESTS, DISPUTES, AND APPEALS

39.3300 Scope of Subsection. This subsection clarifies GSBICA's jurisdiction over subcontract protests, provides additional guidance concerning protests, and also discusses FOIA requests for ITSP-related and APR-related information.

39.3301 General. Each Installation (SIIO, PO, and Chief Counsel) should consider the guidance contained in FIRMR Bulletin C-26 relative to establishing and periodically reviewing their policies and procedures for processing and resolving vendor complaints and Agency protests.

This Bulletin is not directive upon the Agency; however, the objectives and practices contained in Paragraph 6 therein and the process discussed in Paragraph 7 therein address sound business practices which, if implemented, could reduce the incidence of protests filed with the GSBICA.

39.3302 Applicability. The GSBICA does not have jurisdiction over protests filed by prospective subcontractors for alleged irregularities in Brooks Act acquisitions conducted by prime contractors.

39.3303 Policy. CO's are responsible for assuring that the contract file has all documentation required for the acquisition (including all presolicitation documentation required of the FIRMR and this NHB). CO's also have the responsibility to see that the file is readily available in case of a protest.

39.3304 Procedures.

39.3304-1 Protest Notice. In addition to the requirements of FIRMR 201-39.3304-1 and NFS 18-33.105(b), within 1 working day of receiving notice of the protest, Code GK shall notify Code JT of the protest. It is Code JT's responsibility to notify Code HS, the cognizant SPIO, and GSA.

39.3304-2 GSA Participation *[reserved]*.

39.3305 Freedom of Information Act (FOIA) Requests *[no comparable FIRMR Part]*. GSA will not release any NASA-provided information to the public. All FOIA requests to GSA for NASA-provided information will be referred to NASA (Code JT) by GSA. Code JT shall forward these to the appropriate Installation FOIA office for action. NASA has not released the text portion of the

39.44 Subcontracting Policies and Procedures Section 39—Acquisition of FIP Resources by Contracting

Installation ITSP's or the cost/benefit analyses (Exhibit 43C) because of procurement sensitivity. Exhibits 43A and 43B are released but only after deemed releasable by OMB, usually after the embargo of the budget is raised. (If requested before the embargo is lifted, the information is considered pre-decisional.) Code JT does not recommend that the APR be released (it is predecisional and contains procurement-sensitive information, such as cost estimates); however, the DPA is usually releasable.

39.34–39.43 *[FIRMER RESERVED]*

39.44 SUBCONTRACTING POLICIES AND PROCEDURES

As a guide to implementing this provision, it is suggested that contractors' justifications for compatibility-limited or more restrictive specifications should be supported in writing with sufficient rationale to demonstrate that the contractor's decision to limit or restrict competition is based on sound business and technical considerations. The justification should explain why the specifications are limited or restricted, what would be the performance, schedule, and cost implications of acquiring through unlimited or unrestrictive specifications, and what, if anything, the contractor has done, is planning to do, or possibly can do to minimize the possibility that limited or restrictive specifications will be used in the future. These justifications or equivalent documentation should be consistent with the contractor's approved purchasing system requirements for items of the same dollar value. As a general guideline, the CO should look for a "justification" that would support the acquisition if it were being conducted by the Government (see Subsection 20.103-5 on page 20-15).

39.45 GOVERNMENT PROPERTY *[RESERVED]*

39.46 QUALITY ASSURANCE *[RESERVED]*

39.47–39.51 *[FIRMER RESERVED]*

39.52 SOLICITATION PROVISIONS AND CONTRACT CLAUSES *[RESERVED]*

39.53 *[FIRMER RESERVED]*

ENCLOSURE D

TECHNOLOGY REFRESHMENT CLAUSE *[RESERVED – TBD]*

APPENDIX

ACRONYMS

AA	—	Associate Administrator
ADP	—	Automated Data Processing
ADPE	—	Automated Data Processing Equipment
ADPE/DS	—	GSA's Automated Data Processing Equipment/Data System
AIM	—	Automated Information Management Program
AIS	—	Automated Information Security
APR	—	Agency Procurement Request
ARC	—	Ames Research Center
ASM	—	Acquisition Strategy Meeting (<i>also the minutes of that meeting satisfying the FAR requirements for a procurement plan</i>)
BARS	—	GSA's Bid Analysis and Reporting System
BASIC	—	Beginner's All-purpose Symbolic Instruction Code
BBS	—	Bulletin Board Service
CAD	—	Computer-Aided Design
CAE	—	Computer-Aided Engineering
CBD	—	<i>Commerce Business Daily</i>
CCF	—	ARC's Central Computer Facility
CFO	—	Chief Financial Officer
CFR	—	Code of Federal Regulations
CICA	—	Competition in Contracting Act
CO	—	Contracting Officer
COBOL	—	Common Business-Oriented Language
COCA	—	Clearinghouse on Computer Accommodation
CoF	—	Construction of Facilities
COSMIC	—	NASA's Computer Software Management and Information Center
COTR	—	Contracting Officer's Technical Representative
COTS	—	Commercial Off-The-Shelf
CPU	—	Central Processing Unit
CWA	—	Contracting Warrant Authority
DAR	—	Designated Agency Representative
DCASMO	—	Defense Contracts Administration Services Management Office
DCASPRO	—	Defense Contracts Administration Services Plant Representative Office
DDT&E	—	Design, Development, Test, and Evaluation
DEC	—	Digital Equipment Corporation
DECnet	—	Digital Equipment Corporation Network
DES	—	Data Encryption Standard

Appendix—Acronyms

DLA	—	Defense Logistics Agency
DPA	—	Delegation of Procurement Authority
DSO	—	Designated Senior Official
EDSFC	—	Electronic Data Systems Federal Corporation
EEAL	—	Excess Equipment Availability Letter
FAR	—	Federal Acquisition Regulation
FED-STD	—	Federal Telecommunications Standard
FIP	—	Federal Information Processing
FIPRAP	—	FIP Resources Acquisition Plan
FIPS	—	FIP Standards
FIRMR	—	Federal Information Resources Management Regulation
FMSS	—	Federal Management Systems Software
FOIA	—	Freedom of Information Act
Fortran	—	Formula Translator
FRDD	—	FIP Resources Decision Document
FSE	—	Federal Software Exchange
FSEC	—	Federal Software Exchange Center
FSTS	—	Federal Secure Telephone Service
FTS	—	Federal Telephone Service
GATT	—	General Agreement on Tariff and Trade (<i>international agreement on Government procurement</i>)
GKS	—	Graphics Kernel System (<i>FIPS 120; ISO 7942</i>)
GOSIP	—	Government Open Systems Interconnection Profile (<i>FIPS 146</i>)
GSA	—	General Services Administration
GSBCA	—	General Services Board of Contract Appeals
GSFC	—	Goddard Space Flight Center
HQS	—	NASA Headquarters
IBM	—	International Business Machines
ID/IQ	—	Indefinite Delivery/Indefinite Quantity (<i>generally referring to a contract type</i>)
IEEE	—	Institute of Electrical and Electronics Engineers
IFB	—	Invitation For Bid
IIN	—	IRM Information Notice
INFOSEC	—	Information Systems Security
IPO	—	Institutional Program Office (<i>includes the Office of Space Operations and the Office of Headquarters Operations unless otherwise indicated</i>)
IRM	—	Information Resources Management
IRPMR	—	Information Resources Procurement and Management Review
IRSC	—	Information Resources Service Center

ISO	—	International Standards Organization
IT	—	Information Technology (<i>generally referring to FIP equipment, software, and services</i>)
ITSP	—	Information Technology Systems Plan
JOFOC	—	Justification for Other than Full and Open Competition
JPL	—	Jet Propulsion Laboratory
JSC	—	Johnson Space Center
KMAS	—	Code for GSA Authorizations Branch
KSC	—	Kennedy Space Center
LaRC	—	Langley Research Center
LeRC	—	Lewis Research Center
LIMS	—	Lewis Information Management System
MAS	—	Multiple Awards Schedule
MITAP	—	Major Information Technology Acquisition Plan
MSFC	—	Marshall Space Flight Center
MUFFIN	—	MultiUse File for InterAgency News
MUMPS	—	Massachusetts General Hospital Utility Programming System
NABS	—	NASA ADP Budget System
NASA	—	National Aeronautics and Space Administration
NASABBS	—	NASA Bulletin Board Service
NASAMAIL	—	NASA Electronic Mail System
NASCOM	—	NASA's Mission Operational Communications
NEMS	—	NASA Equipment Management System
NFS	—	NASA FAR Supplement
NHB	—	NASA Handbook
NIST	—	National Institute of Standards and Technology
NMI	—	NASA Management Instruction
NSEP	—	National Security and Emergency Preparedness
NTIS	—	National Technical Information Service
OAST	—	Office of Aeronautics and Space Technology (<i>Code R at HQS</i>)
OEM	—	Original Equipment Manufacturer
OMB	—	Office of Management and Budget
OSC	—	Office of Space Communications (<i>Code O at HQS</i>)
OSF	—	Office of Space Flight (<i>Code M at HQS</i>)
OSSA	—	Office of Space Science and Applications (<i>Code S at HQS</i>)
PAD	—	Program Approval Document
PC	—	Personal Computer
PM	—	Program or Project Manager

Appendix—Acronyms

PO	—	Procurement Officer
POP	—	Program Operating Plan
POTS	—	GSA's Purchase of Telephones and Services contract
POSIX	—	Portable Operating System Interface (<i>IEEE Standard 1003.01</i>)
PSCN	—	NASA's Program Support Communications Network
R&D	—	Research and Development
RFC	—	Request For Comments
RFI	—	Request For Information
RFP	—	Request For Proposal
SE&I	—	System Engineering and Integration
SEB	—	Source Evaluation Board
SES	—	Senior Executive Service
SIIO	—	Senior Installation IRM official
SOW	—	Statement Of Work
SPIO	—	Senior Program IRM Official
SQL	—	Structured Query Language
SRM&QA	—	Safety, Reliability, Maintainability, and Quality Assurance
SSC	—	Stennis Space Center
SSO	—	Source Selection Official
TBD	—	To Be Determined
UPN	—	Unique Project Number
USTR	—	United States Trade Representative
ViTS	—	Video Teleconferencing System

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